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## EVALUATOR MANUAL TRANSMITTAL SHEET

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**Distribution:**

☐ All Child Care Evaluator Manual Holders  
☐ All Residential Care Evaluator Manual Holders  
☒ All Evaluator Manual Holders

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**Subject:**

REFERENCE MATERIAL – ENFORCEMENT ACTIONS

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To update section to coincide with clearance prior work/initial presence regulations

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☒ REMOVE – Pages 13 -14

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**Approved:**

Original Signed by S. Davis

7-28-03

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CAROLE JACOBI, Chief  
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**1-0010 GENERAL STATEMENT****1-0010**

The Community Care Licensing Division is a regulatory enforcement program with the principal responsibility of protecting the health and safety of children and adults in out-of-home care. Community Care Licensing Division is responsible for administering the Community Care Facilities Act, the Residential Care Facilities for the Elderly Act, Residential Care Facilities for the Chronically Ill Act, and the Child Day Care Act.

**To fulfill this responsibility, the Licensing Program Analyst uses the three Community Care Licensing Division program components:**

- **Prevention** - The reduction of predictable harm by screening out unqualified applicants and by providing applicants and licensed providers with information regarding the laws and regulations concerning the operation of community care facility.
- **Compliance** - The process which ensures that facilities are operated according to applicable laws and regulations. Compliance is maintained through facility inspection, issuing deficiency notices, and providing consultation regarding the correction of deficiencies
- **Enforcement** - A range of corrective actions taken when a provider fails to protect the health and safety of people in care or is unwilling or unable to maintain compliance with licensing laws and regulations.

The purpose of this section of the evaluator manual is to provide basic information of the enforcement actions available to the Department as part of the third component in the licensing process. Because of the nature of the administrative structure, enforcement is often jointly performed by the **Regional Office**, **Statewide Program Office**, audit investigation, and the Legal Division staff. As a result, it is imperative that the Licensing Program Analyst be aware of how all the segments of the program interact so that an overview is developed and a team approach is encouraged. It is also essential that the Licensing Program Analyst have a thorough understanding of his/her role and function within this team approach.

The Enforcement Action Section is designed to acquaint the Licensing Program Analyst with the range of actions available so that he/she will understand how, when, and in what circumstance, to pursue civil, criminal or administrative action. These actions are important tools to achieve compliance with the regulations and, when necessary, to take action against applicants or licensees who do not or cannot comply with the regulations.

**1-0020 LICENSING RESPONSIBILITIES PERFORMED  
BY COUNTIES****1-0020**

The California Department of Social Services has, by contract, delegated responsibility for the licensure of family child care homes and/or foster family homes to some of the counties. As a result, in many parts of the State, there may be a State Licensing Office, known as a “Regional Office,” responsible for the Child Care Program, the Adult Care Program, the Children’s Residential Program or the Senior Care Program as well as a county licensing office responsible for licensing family child care homes and/or foster family homes.

Where such contractual arrangements are in effect, the counties are legally the agents of the State of California, performing all the licensing activities related to family child care homes and/or foster family homes, including all required facility visits, and, when necessary, recommendations for and preparation of administrative actions. The Statewide Program Offices review county recommendations and make final decisions regarding the submission of administrative actions to the Deputy Director.

Statements which refer to a “Regional Office” (State Regional Office) are in most instances equally applicable to county licensing offices. The phrase “local Licensing Office” refers to both a State and a county Licensing Office. Where there are differences in the manner in which State and county cases should be handled they will be described separately.

The references to “Program Investigations” are not, however, applicable to the counties. The State Department’s Auditors and peace officer investigators prepare certain cases for the State Regional Offices but do not perform investigations for the counties. This is because investigative responsibilities are assumed by the counties under their contracts with California Department of Social Services. Investigations that may be needed in county cases should be conducted by county licensing staff, Child Protective Services, or local law enforcement.

Any questions about how a county case should be handled should be referred to the Statewide Program Office responsible for that county.

**1-0030 GLOSSARY****1-0030**

The following terms, which will be used throughout this section, have been alphabetized for easy reference.

**Accusation:** A formal written statement of the statutory or regulatory violations or other deficiencies upon which a request to revoke a license with or without a suspension. The Accusation, also known as a pleading, is prepared by the Legal Division of the California Department of Social Services and is based on the Statement of Facts prepared by the Licensing Program Analyst.

## 1-0030 GLOSSARY (Continued)

1-0030

**Adequate and Advance Notice:** A term applied to the time period required for notification to family members and other responsible parties before licensing actions can become effective.

**Administrative Action:** A term applied to legal actions against a licensee initiated by the California Department of Social Services. License revocations, denials of initial license applications, and temporary suspension orders are all types of administrative action, and should be distinguished from criminal actions, initiated by a District Attorney, and civil actions, usually initiated by a private party to resolve a private dispute.

**Administrative Hearing:** A formal proceeding, comparable to a trial. A licensee or applicant who has been served with a pleading to revoke a license or deny an initial application may request a hearing to contest the allegations contained in the pleadings. At the hearing, a state Licensing Attorney presents witnesses and evidence to prove the allegation(s), and the licensee or applicant may elect to engage the services of an attorney or choose to present his or her explanation(s) or defense(s) and witnesses in his or her own behalf.

**Administrative Law Judge:** An impartial hearing officer from the State Office of Administrative Hearings who presides over the Administrative Hearing in a licensing case.

**Arrest:** An arrest is the detention of a person to answer a criminal charge. An arrest does not become a conviction unless adjudicated as such in a court of law. Rap sheets from the Department of Justice now provide disclosure of arrests as well as convictions.

**Attorney General's Office:** The Agency within the Department of Justice responsible for representing State agencies in most litigation. The Attorney General's Office assists licensing offices in obtaining injunctions and inspection warrants when the local District Attorney or county counsel declines a request from the Licensing Office for assistance in such actions.

The Attorney General's Office represents the State in lawsuits arising from licensing cases, and in any appeal proceedings that may follow a licensing hearing. The Attorney General does not generally represent State and county licensing offices in license revocation and denial hearings. That responsibility has been delegated to the licensing attorneys in the Legal Division.

**Bureau of Criminal Identification Division:** A bureau within Department of Justice where the fingerprints of licensees and employees are sent for processing.

## 1-0030 GLOSSARY (Continued)

1-0030

**Child Abuse Registry:** A database maintained by Department of Justice to collect information on suspected child abusers. In addition to abuse complaints that result in convictions, the Child Abuse Registry also contains information on complaints which led to an arrest but not to a conviction, and on complaints for which the evidence was insufficient even for an arrest.

**Child Abuse Central Index Check:** The response from the Department of Justice as to whether a person by the same or similar name has a report on the index.

**Civil Penalty:** A fine assessed, by the Licensing Agency, against the licensee or unlicensed operator for failure to comply with applicable laws and regulations.

**Complainant:** In an individual, or entity, who files a complaint to the Community Care Licensing Division by telephone, mail or other means, against a licensed or unlicensed care facility or individual.

Also in an administrative action, the party filing an Accusation or Statement of Issues is known as the complainant. In licensing cases, the complainant is the Community Care Licensing Division Deputy Director.

**Compliance Plan Conference:** The Compliance Plan Conference develops changes to the facility plan of operation that establishes specific actions the provider will take to improve the operation of the facility. The Compliance Plan Conference does not preclude the Department from initiating administrative action if the licensee fails to implement and maintain improvements to the quality of care and supervision or fails to make other changes as reflected in the plan.

**Conduct Inimical:** This is a statutory basis for application denials, revocations or excluding someone from a facility because they have acted in a harmful or injurious manner, either in or out of the facility per Health and Safety Code, Section 1596.8897.

**Conviction:** A conviction occurs when a person pleads guilty to a criminal charge, is found guilty by a jury verdict or is found guilty by a judge following a plea of nolo contendere (no contest). For criminal record purposes, only convictions of misdemeanors or felonies, not infractions, are considered.

**Criminal Action:** A legal action taken against a person for violation(s) of the criminal law, normally litigated by local law enforcement agencies.

**Caregiver Background Check Bureau:** The unit in the Community Care Licensing Division that process child abuse index check and criminal records for State licensed facilities. Child abuse index check and criminal records for county licensed facilities are processed by the licensing county.



## 1-0030 GLOSSARY (Continued)

1-0030

**Criminal Records Exemption:** Written permission by Caregiver Background Check Bureau or a county Licensing Agency permitting a person with a criminal conviction to be present in a facility licensed by the Department. An exemption is not required for arrests, infractions or child abuse index check or Child Protective Services records.

**Decision and Order:** The final decision of California Department of Social Services after an administrative action to revoke a license, deny an application or exclude an employee from a facility. If there has been an Administrative Hearing, the Administrative Law Judge who presided at the hearing prepares a recommendation on the case to the Director of California Department of Social Services. The Director may either adopt or reject (alternate) the Administrative Law Judge's recommendation. Regardless of whether the Proposed Decision is adopted or alternated, the Director's final decision is known as the Decision and Order.

**Default:** The failure of an initial applicant to file a Notice of Defense to a Statement of Issues, or the failure of a licensee to file a Notice of Defense to an Accusation, or the failure of either an applicant or licensee to appear at a hearing after filing a Notice of Defense. If the applicant or licensee does not file a Notice of Defense, or does not file a Notice of Defense in a timely manner, California Department of Social Services may issue a Decision and Order revoking a license, denying an application or excluding an employee from a facility without a hearing. If a Notice of Defense is filed, but the applicant, licensee or employee fails to appear at the hearing, the Licensing Attorney must present the evidence to the Administrative Law Judge, after which the Director of California Department of Social Services may issue the appropriate Decision and Order.

**Due Process:** A principle set forth in both the State and federal constitutions in the statement, "No person may be deprived of life, liberty, or happiness without due process of law." For licensing purposes, the principle of due process requires that a licensee, upon **request**, must be given a fair and impartial hearing **before** the revocation or denial of a license can become final.

**Exclusion Order:** An order by the Department that a person may not be present in any facility licensed by the Department. An Exclusion Order may be based upon a criminal conviction or an investigation revealing conduct inimical or a violation of licensing statutes or regulations.

**Facility Closure Plan:** A formal plan developed by the **Regional Manager** and other **Regional Office** staff related to the closure of operating facilities and the relocation of clients.

**Facility Compliance Plan:** A formal plan (documented on the LIC 9112) developed by the Licensing Program Analyst and other **Regional Office** staff, outlining specific actions required to resolve facility problems with the licensee.

## 1-0030 GLOSSARY (Continued)

1-0030

**Fingerprint Cards:** Cards provided by Department of Justice especially for Community Care Licensing Division purposes, upon which a licensee, applicant or other person required to be fingerprinted has their fingerprints rolled. Facilities must use only the Community Care Licensing Division designated cards, as Department of Justice will not accept law enforcement fingerprint cards.

**Hearsay:** Hearsay is a statement made by one person, which is related in the testimony of a different person. For example, if you testify, “My head hurts,” your statement is not hearsay. But if you testify, “Tom said, ‘My head hurts,’” Tom’s statement is hearsay when you repeat it.

Hearsay is usually allowed in Administrative Hearings, but only to corroborate some other evidence, which is not hearsay, such as eyewitness testimony. A finding of fact cannot be based on hearsay alone.

**Immediate Civil Penalty:** A fine assessed at the time of citation for that day only.

**Progressive Civil Penalty:** Progressive civil penalties (formerly three-tier civil penalties) are assessed for a repeat violation of the same subsection within 12 months.

**Informal Meeting:** A meeting between licensing staff and the licensee or applicant to discuss deficiencies and an acceptable plan to bring the facility into compliance.

**Injunction:** A permanent order issued by a Superior Court after a hearing which prohibits some conduct or activity by a person or organization. In licensing, an injunction is usually requested by a local Licensing Office to stop a person or organization from operating a community care facility without a license.

**Inspection Warrant:** An order issued by a court permitting a department staff person (Licensing Program Analyst, Investigator, Auditor) to gain access to a facility or residence where unlicensed care may be provided, or to a licensed facility to which the department staff person has been refused access.

A local Licensing Office should seek assistance in obtaining an inspection warrant from the local District Attorney or county counsel or city counsel. In order to accomplish this, **Regional Office** staff should contact the **Statewide Program Office** for assistance in obtaining the warrant. If this request is rejected, an inspection warrants request should be referred to the Legal Division. These cases will be handled by the Attorney General’s office.

**Non-compliance Conference:** A meeting held with the licensee at the request of the **Regional Manager** to discuss serious noncompliance issues and the consequences for failure to correct, such as referral to the Legal Division for revocation of the facility license.

## 1-0030 GLOSSARY (Continued)

1-0030

**Notice of Defense:** The formal notice submitted by an applicant who has been served with a Statement of Issues, or by a licensee who has been served with an Accusation, to request an Administrative Hearing in the case.

**Physical Abuse:** A physical injury which is inflicted by other than accidental means. Includes acts of physical abuse done at the direction of the licensee, facility employee and/or unknown suspect resulting in injuries.

**Plan of Correction:** A plan developed by the licensee or authorized facility representative and jointly agreed to by the Licensing Program Analyst as to how and when a deficiency(s) shall be corrected in order to bring the facility into compliance.

**Respondent:** In an administrative action, the party against whom the action is filed is known as the respondent. In licensing cases, the respondent is the licensee or applicant.

**Revocation:** The administrative action to void or rescind a license because of serious or chronic violations of licensing laws or regulations.

**Ritualistic Abuse:** Ritualistic abuse is a brutal form of child abuse that involves sexual, physical, psychological, and spiritual abuse and the use of frightening rituals.

**Sexual Assault:** Any illegal activity performed for the sexual gratification of any of the parties involved (e.g., rape, unlawful sexual intercourse, voyeurism, exhibitionism, and child molestation) including sexual contact in which one party used his or her position of trust to obtain sex (i.e. caregiver with a developmentally disabled client or teenage foster child).

**Statement of Facts:** A report from a Licensing Office requesting revocation of a license, denial of an application or exclusion of an employee from a facility. The Statement of Facts fully identifies a facility and its licensee, summarizes the violations with which a licensee is charged, and lists the witnesses who might testify to the violations. The Statement of Facts is always accompanied by copies of appropriate licensing reports and other documents detailing the alleged violations.

**Statement of Issues:** A formal written statement, or pleading, prepared by the Legal Division which sets forth the grounds upon which an initial license application has been denied by the local Licensing Office. A Statement of Issues is based on the Statement of Facts prepared by the Licensing Program Analyst.

**Subsection:** The subsection is the Regulation Section denoted by a small alpha after the main Regulation Section number. Example: Sections 87218(a)(2) and 87218(a)(5) are in the same subsection. Sections 87218(a) and 87218(b) are **not** in the same subsection.

## 1-0030 GLOSSARY (Continued)

1-0030

**Suspicious Death:** Death of a client at a care facility, or while under the care of the facility, which is not clearly the result of natural causes or in which the causes are unknown.

**Temporary Restraining Order:** A temporary or interim order issued by a Superior Court judge prohibiting a person or organization from engaging in or continuing some activity until a hearing can be held and the dispute fully litigated. Occasionally, temporary restraining orders are sought by licensees, and issued by local Superior Court judges, to prevent a temporary suspension order from going into effect. This is the only connection between a temporary suspension order and a temporary restraining order; they are otherwise unrelated legal remedies.

**Temporary Suspension Order:** A temporary order issued by the Deputy Director for Community Care Licensing Division which suspends a license prior to a hearing. temporary suspension orders are issued, when imminent danger exists, to protect residents or clients of a facility from physical or mental abuse, abandonment, or any other substantial threat to health or safety. A temporary suspension order must be accompanied by an Accusation to revoke the license. A local Licensing Office **may not** order a licensed facility to stop operating. Only the Deputy Director for Community Care Licensing Division, or someone authorized to act in his or her stead, may issue a temporary suspension order Section 1-0030.

**Unlicensed Facility:** A facility shall be deemed to be an unlicensed community care facility, residential care facilities for the elderly, residential care facilities for the chronically ill or child care center or family child care home if it is maintained and operated to provide nonmedical care, is not exempt from licensure and any one of the following conditions exists:

- The facility is providing care or supervision, as defined in the California Code of Regulations, Sections 80001 community care facility, 87801 residential care facility for the chronically ill, 87101 residential care facility for the elderly, or Section 102352 family child care home.
- The facility is held out as or represented as providing care and supervision to a client, or clients not otherwise exempt from licensure.
- The facility accepts or retains residents who demonstrate the need for care and supervision whether the facility provides that care or not.
- The facility represents itself as a licensed community care facility, residential care facility for the chronically ill, residential care facility for the elderly, or community care facility.

**1-0040 CIVIL PENALTIES, GENERAL STATEMENT****1-0040**

Assessment of civil penalties is one method used to gain compliance from the licensee. Civil penalties are assessed for Serious Deficiencies (Type A and Type B) which are not corrected by the Plan of Correction Date; violation of fingerprint requirements; unlicensed facilities; violations that lead to death, injury, or sickness of a client; and/or repeat violations under specific conditions.

The purpose of civil penalties is to provide a tool for the Licensing Program Analyst to bring the licensee into compliance. This is only one of a number of tools and should be used within the entire scheme of enforcement to gain compliance. The use of a civil penalty is not intended to change any of the procedures normally used by the Licensing Program Analyst. Only after the appropriate process has been completed and the deficiencies documented, are civil penalties assessed to gain compliance.

A table is included in Section 1-0075 titled Quick Reference.

**1-0045 CATEGORIES OF CIVIL PENALTIES****1-0045**

Civil penalties fall into six categories: (1) civil penalties for unlicensed facility operation, (2) civil penalties for fingerprint violations, (3) civil penalties for failure to meet the Plan of Correction Date, (4) civil penalties for family day-care licensees that fail to give "The Parent's Rights Addendum" to parents or maintain a signed copy in their files or give a copy of the "Addendum" to the Department of Social Services, (5) progressive civil penalties, and (6) civil penalties for violations leading to death, injury, or sickness.

**1-0050 UNLICENSED FACILITIES****1-0050**

Civil penalties for unlicensed facilities apply to **ALL** facility types. When an unlicensed facility is identified, a Notice of Operation in Violation of Law is issued. Civil penalties are assessed as described below unless operation ceases.

- **Residential Care Facility for the Chronically Ill**

For a Residential Care Facility for the Chronically Ill an **immediate** civil penalty of \$100 is assessed per resident per day, for the first 15 days until a completed application is submitted or operation ceases. If the application is not submitted within 15 calendar days of the Notice, on day 16 the civil penalty increases to \$200 per resident per day, and continues until a completed application is submitted or operation ceases.

**1-0050 UNLICENSED FACILITIES****1-0050**

- **Residential Care Facility for the Elderly**

For a Residential Care Facility for the Elderly, if a completed application is submitted or operation ceases within 15 calendar days of the Notice, no civil penalty is assessed. If a completed application **is not** submitted within 15 days and operation continues, a civil penalty of \$100 per resident per day, for days 1 through 15 is assessed retroactively. On day 16 the civil penalty increases to \$200 per resident per day and continues until a completed application is submitted or operation ceases.

- **All Other Facility Categories**

For **all** other facility categories, if a completed application is not submitted or operation does not cease within 15 calendar days of the Notice, on day 16 a civil penalty of \$200 per day is assessed until a completed application is submitted or operation ceases.

Use the table in Section 1-0075 as a quick reference for timeframes and amounts for specific facility types.

**Completed Application Requirements**

Residential Care Facilities for the Elderly; see Section 87218.

Residential Care Facilities for the Chronically Ill; see Section 87818.

Community Care Facilities; see Section 80018.

Family Child Care Homes; see Section 102393.

Child Care Centers see; Section 101169.

**1-0055 FINGERPRINT VIOLATIONS****1-0055**

Civil penalties for fingerprint violations apply to **all** facility categories. This civil penalty results from **having an individual on premises who does not have either a criminal record clearance or exemption,** or failure to have an individual **with a clearance or an exemption** associated to the facility. It involves immediate assessments only, and there is no continuing daily assessment for this type of civil penalty.

The deficiency is cited listing each individual not meeting fingerprint requirements. An immediate civil penalty of \$100 per individual is assessed on the date of the visit.

**1-0055 FINGERPRINT VIOLATIONS (Continued)****1-0055**

On any subsequent visit, if the licensee has failed to correct the fingerprint violations and/or new fingerprint violations are found, cite and assess an immediate civil penalty of \$100 per individual.

A Plan of Correction date is **not** required.

By policy, this type of violation will not move into the progressive civil penalty process.

**1-0057 PARENTS RIGHTS ADDENDUM VIOLATIONS FAMILY  
CHILD CARE HOMES ONLY****1-0057**

The following procedures will apply if the person has been excluded from a family child care home, either by the Caregiver Background Check Bureau, or the Regional Office; or the County Licensing Office.

- By the Caregiver Background Check Bureau: A “Family Child Care Home, Addendum to Notification of Parent’s Rights (LIC 995B) (Regarding Exclusion)” will be sent from the Caregiver Background Check Bureau, to the licensee, with a copy to the Regional Office. The Regional Office is to file its copy in the public portion of the facility file behind the “Personnel” divider. If the person is later permitted to return to the facility the Caregiver Background Check Bureau will send the licensee a “Family Child Care Home, Addendum to Notification of Parent’s Rights (LIC 995C) (Regarding Reinstatement) with a copy to the Regional Office. Again, the Regional Office must file it in the public portion of the facility file, behind the “Personnel” divider.
- By the Regional Office: A “Family Child Care Home, Addendum to Notification of Parent’s Rights (LIC 995B) (Regarding Exclusion) “will be sent from the Regional Office or the County Licensing Office, to the licensee, and a copy placed in the public portion of the facility file behind the “Personnel” divider. If the person is later permitted to return to the facility, the Regional Office will or County Licensing Office will send to the licensee a “Family Child Care Home, Addendum of Notification of Parent’s Rights (LIC 995C) (Regarding Reinstatement). Again, the Regional Office must file it in the public portion of the facility file, behind the “Personnel” divider.

An immediate civil penalty of \$100 per violation must be assessed to a Family Child Care Home licensee when someone has been excluded from the facility and the licensee fails to comply with any of the following:

- Provide parents/authorized representatives with a copy of the addendum;
- Obtain parents/authorized representatives signature or;
- Provide the Department with a copy of the signed addendum upon request.

**1-0057 PARENTS RIGHTS ADDENDUM VIOLATIONS FAMILY  
CHILD CARE HOMES ONLY (Continued)****1-0057**

**NOTE:** Civil penalties are based upon parents not receiving a copy of the addendum i.e. if the parent/authorized representatives of four children did not receive notification from the licensee and three of the four children had the same parents/authorized representative, the licensee would only be assessed a civil penalty of \$200. If a licensee refuses to permit the Licensing Program Analyst to see the receipts, cite \$100 penalty for the number of parents whose children are present on the day of the visit.

**1-0060 CIVIL PENALTIES ASSESSED FOR FAILURE  
TO MEET PLAN OF CORRECTION DATE****1-0060**

When a citation is issued, a Plan of Correction Date is established. A follow-up visit is conducted within ten working days of the Plan of Correction Date and if deficiencies are not corrected, a civil penalty of \$50 per day per deficiency is assessed beginning on the day after the Plan of Correction Date. **The maximum daily civil penalty assessed for this type of deficiency is \$50 per uncorrected deficiency up to a maximum of \$150. The civil penalty continues until the deficiency is corrected.**

If the follow-up visit is not conducted within ten working days of the Plan of Correction Date a civil penalty **cannot** be assessed. If the deficiency has not been corrected, issue a new citation and establish a new Plan of Correction Date. An immediate civil penalty cannot be assessed for this new citation. This new citation will be counted as the first deficiency in the progressive civil penalty process.

**Foster Family Agency**

Annual inspections of Foster Family Agencies may include visits to more than one certified home. Citations of the same subsection at more than one certified home will not constitute a repeat citation for purposes for assessing immediate civil penalties. These deficiencies will be cited as one violation against the Foster Family Agency.

The Foster Family Agency will be given a Plan of Correction. If the deficiency(ies) are not corrected by the Plan of Correction date, initial civil penalties will be assessed.

**Family Child Care Home**

A civil penalty of \$50.00 per day will be assessed if a deficiency within Section 102419 (a)(8), (b), (c), (d), (d)(1), or (d)(2) is not corrected by the Plan of Correction Date. The civil penalty continues until the deficiency is corrected.



**1-0065 PROGRESSIVE CIVIL PENALTIES FOR REPEAT VIOLATIONS 1-0065**

This category of Civil Penalties **does not** apply to Foster Family Homes.

The progressive civil penalty process **does not** apply to Fingerprint Violations. See Section 1-0055 for Fingerprint Violations.

**Civil Penalties for Repeat Violations**

1. For repeat violations of the same subsection (as defined in the glossary) within 12 months, an immediate civil penalty is assessed and the amount of the daily civil penalty increases. The amount of the assessment varies by category and number of times the deficiencies are cited. **There is no daily maximum for repeat violations. More than one civil penalty may be in effect at one time.**

2. **Second Cited Violation within 12 Months**

For the second cited violation of the same subsection within 12 months, assess an immediate civil penalty of \$150 per cited violation for that day. If the deficiency is not corrected, the following day a civil penalty of \$50 per day per cited violation begins and accrues until corrected.

3. **Third Cited Violation within 12 Months of the Last Citation**

- **Residential Care Facility for the Elderly/Residential Care Facility for the Chronically Ill**

For the third cited violation of the same subsection within 12 months of the last cited violation, assess an immediate civil penalty of \$1,000 per cited violation for that day. If the deficiency is not corrected, the following day a civil penalty of \$100 per day per cited violation begins and accrues until corrected.

- **Community Care Facilities/Child Care Centers**

For the third cited violation of the same subsection within 12 months of the last cited violation, assess an immediate civil penalty of \$150 per cited violation for that day. If the deficiency is not corrected, the following day a civil penalty of \$150 per day per cited violation begins and accrues until corrected.

- **Family Child Care**

For the third cited violation of the same subsection, Section 102419 (a)(8), (b), (c), (d), (d)(1), or (d)(2), within 12 months of the last cited violation, assess an immediate civil penalty of \$150 per cited violation for that day. If the deficiency is not corrected, the following day a civil penalty of \$150 per day per cited violation begins and accrues until corrected.

**1-0065      PROGRESSIVE CIVIL PENALTIES FOR REPEAT VIOLATIONS      1-0065**  
(Continued)

- **Foster Family Agency**

The progressive civil penalty process for Foster Family Agencies is generally the same as for Community Care Facilities. If a Foster Family Agency receives citations for repeat violations of the same subsection in a twelve month period for deficiencies observed at the same Certified Family Homes, immediate civil penalties will be assessed per the instructions for Community Care Facilities. If a Foster Family Agency receives citations for repeat violations of the same subsection within a 12 month period for deficiencies observed during the agency office visit portion of the evaluation, immediate civil penalties will also be assessed per the instructions for Community Care Facilities.

However, if a Foster Family Agency receives citations for repeat violations of the same subsection in a 12 month period for deficiencies observed at different Certified Family Homes, immediate civil penalties will generally not be assessed, even though all of the citations will be issued against the Foster Family Agency. In these situations the Plan of Correction must include a requirement that the Foster Family Agency take steps to ensure compliance with the cited deficiencies at all of its Certified Family Homes. For example, the Licensing Program Analyst finds one Certified Family Home with an unfenced swimming pool. As a part of the Plan of Correction, the Licensing Program Analyst requires the Foster Family Agency to check all its Certified Family Homes for swimming pool fencing. In addition, the Licensing Program Analyst notifies the Foster Family Agency that failure to correct the deficiency will result in the assessment of progressive penalties. Within 12 months, the Licensing Program Analyst cites another of the Foster Family Agency's Certified Family Homes for a deficiency in violation of the same subsection. As a result, the Foster Family Agency is assessed an immediate Civil Penalty. Civil Penalties will continue to be assessed against the Foster Family Agency until the deficiency is corrected.

**1-0065      PROGRESSIVE CIVIL PENALTIES FOR REPEAT VIOLATIONS      1-0065**  
(Continued)**4.      Subsequent Cited Violations within 12 Months of the Last Citation**

- **Residential Care Facility for the Elderly/Residential Care Facility for the Chronically Ill**

For subsequent cited violation(s) of the same subsection within 12 months of the last cited violation, assess an immediate civil penalty of \$1,000 per cited violation for that day. If the deficiency is not corrected, the following day a civil penalty of \$100 per day per cited violation begins and accrues until corrected.

- **Community Care Facilities/Child Care Centers**

For subsequent cited violation(s) of the same subsection within 12 months of the last cited violation, assess an immediate civil penalty of \$150 per cited violation for that day. If the deficiency is not corrected, the following day a civil penalty of \$150 per day per cited violation begins and accrues until corrected.

- **Foster Family Agency**

The progressive civil penalty process for Foster Family Agencies is generally the same as for other community care facilities, if the citations are related to the operation of the Foster Family Agency and not related specifically to deficiencies identified in one or more certified family homes belonging to that agency.

With respect to Foster Family Agencies, the agencies are cited, not the certified home, even though the deficiency occurred in the certified home. One agency may have hundreds of certified homes, meaning that the chances for repeating deficiencies from one home to another is greatly increased. For this reason, progressive civil penalties may be assessed when a deficiency cited in one home is repeated in another within 12 months, only if the agency has been put on notice that this will be the approach used. This variance does not apply to deficiencies repeated by the same certified home that was the basis for the original citation.

In deciding when to provide such notice to the agency, the analyst must consider the following:

1.      The seriousness of the deficiency: These would normally be Type A Citations. For instance, if a certified family home is found to have an unfenced swimming pool, the agency would be told that this situation is so serious that they immediately see that fencing is completed and ensure that no other homes they have certified have a similar situation. They would be notified as part of the citation that progressive civil penalties will be applied if any of their homes are found to have similar problems in the next 12 months.

**1-0065      PROGRESSIVE CIVIL PENALTIES FOR REPEAT VIOLATIONS      1-0065**  
(Continued)

2.      Appearance of a pattern of non-compliance: May be Type B Citations. Such as repeat physical plant or record keeping citations.

If the analyst sees a pattern of deficiencies, through contact with two or more certified homes, the agency may be notified during the citation process that failure to correct the deficiency will result in the assessment of progressive penalties. If within 12 months, the Licensing Program Analyst cites the agency for another violation of the same subsection, the Foster Family Agency is assessed an immediate Civil Penalty. Civil Penalties will continue to be assessed against the Foster Family Agency until the deficiency is corrected.

**1-0070      VIOLATIONS LEADING TO DEATH, INJURY, OR SICKNESS      1-0070**  
**OF A CLIENT**

Civil penalties for violations leading to death, injury, or sickness of a client do **not** apply to Family Child Care Homes, Foster Family Homes and Certified Family Homes.

The Licensing Program Analyst must contact a **Regional Office Local Unit Manager** or Manager prior to issuing this type of civil penalty.

Upon approval, the deficiency is cited and an immediate civil penalty of \$150 is assessed. An ongoing civil penalty of \$150 per day per violation continues until violation is corrected.

A Plan of Correction Date is **not** required.

**1-0075 QUICK REFERENCE – CIVIL PENALTIES**

					<b>1-0075</b>
	<b>Civil Penalties for Failure to Meet POC Date</b>	<b>Progressive Civil Penalties for Repeat Violations</b>			<b>Violations Leading to Death, Injury, or Sickness of a Client</b>
Type of Facility	First cited violation if not corrected	Second cited violation within 12 months of the last violation	Third cited violation within 12 months of the last violation	Subsequent cited violation within 12 months of the last violation	
RCFE	\$50 per violation \$150 per day maximum	\$150 immediate <sup>1</sup> per violation then \$50 per day per violation	\$1,000 immediate <sup>1</sup> per violation then \$100 per day per violation	\$1,000 immediate <sup>1</sup> per violation then \$100 per day per violation	\$150 immediate then \$150 per day <sup>1</sup> per violation
RCF-CI	\$50 per violation \$150 per day maximum	\$150 immediate <sup>1</sup> per violation then \$50 per day per violation	\$1,000 immediate <sup>1</sup> per violation then \$100 per day per violation	\$1,000 immediate <sup>1</sup> per violation then \$100 per day per violation	\$150 immediate then \$150 per day <sup>1</sup> per violation
CCFS Including FFA <sup>2</sup>	\$50 per violation \$150 per day maximum	\$150 immediate <sup>1</sup> per violation then \$50 per day per violation	\$150 immediate <sup>1</sup> per violation then \$150 per day per violation	\$150 immediate <sup>1</sup> per violation then \$150 per day per violation	\$150 immediate then \$150 per day <sup>1</sup> per violation
Child Care Centers	\$50 per violation \$150 per day maximum	\$150 immediate <sup>1</sup> per violation then \$50 per day per violation	\$150 immediate <sup>1</sup> per violation then \$150 per day per violation	\$150 immediate <sup>1</sup> per violation then \$150 per day per violation	\$150 immediate then \$150 per day <sup>1</sup> per violation
Family Child Care Home	\$50 per violation of Section 102419 (a)(8), (b), (c), (d), (d)(1), or (d)(2) \$150 per day maximum	\$150 immediate <sup>1</sup> per violation then \$50 per day per violation of Section 102419 (a)(8), (b), (c), (d), (d)(1), or (d)(2)	\$150 immediate <sup>1</sup> per violation then \$50 per day per violation of Section 102419 (a)(8), (b), (c), (d), (d)(1), or (d)(2)	N/A	N/A
Foster Family Home	N/A	N/A	N/A	N/A	N/A

<sup>1</sup> The immediate penalty is assessed on the day the deficiency is cited (for one day only); daily penalty begins the day after the immediate civil penalty assessment and continues until the deficiency is corrected. **There is no daily maximum.**

<sup>2</sup> FFAs are cited for violations found in Certified Family Homes (CFHs). Unless special criteria are met (see EM 1-0060, 1-0065), FFAs are not assessed penalties for repeat violations found in different CFHs.

<b>1-0075 QUICK REFERENCE – CIVIL PENALTIES</b>			<b>1-0075</b>
<b>Type of Facility</b>	<b>Unlicensed Facilities</b>	<b>Fingerprints not submitted prior to presence in the facility</b>	<b>Parent's Rights Addendum (Regarding Exclusion) or (Regarding Reinstatement) not given to parent, not maintained or not given to CCLD upon request</b>
RCFE	Facility has 15 days to complete application. When a completed application has not been submitted, on the 16 <sup>th</sup> day: <ul style="list-style-type: none"> <li>Assess penalty of \$100 per day per resident retroactively for the first 15 days</li> <li>Assess a penalty of \$200 per day per resident until a completed application is submitted or operation ceases</li> </ul>	\$100 immediate per person	
RCF-CI	Immediate penalty of \$100 per day per resident until a completed application is submitted or operation ceases. When a completed application has not been submitted, on the 16 <sup>th</sup> day: <ul style="list-style-type: none"> <li>Assess a penalty of \$200 per day until a completed application is submitted or operation ceases</li> </ul>	\$100 immediate per person	
CCFs Including FFAs	Facility has 15 days to complete application. When a completed application has not been submitted, on the 16 <sup>th</sup> day: <ul style="list-style-type: none"> <li>Assess a penalty of \$200 per day until a completed application is submitted or operation ceases</li> </ul>	\$100 immediate per person	
Child Care Centers	Facility has 15 days to complete application. When a completed application has not been submitted, on the 16 <sup>th</sup> day: <ul style="list-style-type: none"> <li>Assess a penalty of \$200 per day until a completed application is submitted or operation ceases</li> </ul>	\$100 immediate per person	
Family Child Care Homes	Facility has 15 days to complete application. When a completed application has not been submitted, on the 16 <sup>th</sup> day: <ul style="list-style-type: none"> <li>Assess a penalty of \$200 per day until a completed application is submitted or operation ceases</li> </ul>	\$100 immediate per person	\$100 immediate per parent
Foster Family Home	Facility has 15 days to complete application. When a completed application has not been submitted, on the 16 <sup>th</sup> day: <ul style="list-style-type: none"> <li>Assess a penalty of \$200 per day until a completed application is submitted or operation ceases</li> </ul>	\$100 immediate per person	

**1-0100 NON-COMPLIANCE WITH THE LICENSING LAWS  
AND REGULATIONS****1-0100**

One of the goals of Community Care Licensing Division is to ensure that all licensees are in substantial compliance with the licensing laws and regulations. In keeping with this philosophy, it is the policy of the Division to ensure that licensees are afforded an opportunity to correct deficiencies which have an immediate or potential risk to the health, safety or personal rights of clients in care prior to initiating an administrative action. If deficiencies are corrected within a reasonable time frame and civil penalties are not assessed, the licensee is considered in substantial compliance with licensing standards.

A non-compliant facility is one in which the licensee has a history of immediate or potential risk deficiencies, civil penalty assessments and/or intentional disregard of licensing laws and regulations. If deficiencies are not corrected, as required by the Plan of Correction (Refer to Evaluator Manual Section 3-3600), then further enforcement actions may be necessary.

**1-0110 CASE ASSESSMENT****1-0110**

There are a variety of circumstances which may lead the Licensing Program Analyst, **Local Unit Manager**, and **Regional Manager** to recommend action against a licensee or applicant. There may be a licensee who chronically fails to comply with licensing requirements, or a situation where the Licensing Program Analyst has investigated and substantiated one or more complaints against a facility.

In addition, the Licensing Program Analyst may have received information from law enforcement, local health, fire, or sanitation officials, or sometimes from other sources, that the licensee or applicant in question has engaged in or is engaging in criminal conduct or other activity which creates a risk to the clients in care. In any of these circumstances, the Licensing Program Analyst, **Local Unit Manager** and **Regional Manager** will have to do a total review of the case and decide on a course of action.

**1-0110 CASE ASSESSMENT (Continued)****1-0110****CASE ASSESSMENT CRITERIA**

There are a variety of actions that can be taken with a non-compliant licensee or applicant. The particular type of action recommended may depend on any or all of the following factors:

- The seriousness of the problem(s).
- The risk of harm to clients in care.
- The length of time the Licensing Program Analyst has been working with the licensee or applicant to correct the problem(s).
- The degree of cooperation or ability that the licensee or applicant exhibits to come into and remain in full compliance with regulations within the stated time frames.

The following are some of the most common indicators found in identifying a non-compliant facility. Normally, more than one of these indicators will be present in a non-compliant facility. The Licensing Program Analyst should use this list to determine whether to initiate a facility compliance plan, schedule a Noncompliance Conference or submit a request for administrative action. This is not an all-inclusive list and there may be other issues or combination of problems which would necessitate one of the actions listed above.

1. Evidence of imminent danger to the clients due to:
  - a. Physical abuse
  - b. Sexual abuse
  - c. Questionable/wrongful death
  - d. Serious unexplained injuries
  - e. Serious medical emergency
  - f. Lack of supervision resulting in any of the above
  - g. Neglect or abandonment of facility/clients by licensee or staff
2. The fire clearance (if required) has been denied or revoked.
3. The licensee continues to use corporal punishment after the licensee has been cited and advised that this is a personal rights violation.



**1-0110 CASE ASSESSMENT (Continued)****1-0110**

4. The facility has a history of Type A or B violations cited during a facility visit. Please refer to Reference Material Section 3-4200 on Facility Evaluation for the definitions of Type A and B violations.
5. The licensee has a history of not correcting Type A or Type B violations within the Plan of Correction date.
6. The licensee has been assessed civil penalties two or more times for the same violation(s).
7. The licensee has a history of intentional disregard or willful violation of the licensing laws and regulations where the same type of deficiencies have been cited over a period of time.
8. The licensee is or has operated an unlicensed facility prior to becoming licensed.
9. The licensee is operating the facility with minimal financial resources which has affected the care and supervision of clients and the facility's operation.
10. The licensee has a history of hiring unqualified staff.
11. The facility has a pattern of continual overcapacity.
12. The licensee or other person in the facility has been arrested for or convicted of a serious felony or the licensee or staff has had an exemption granted for a criminal record conviction and has had a subsequent conviction.
13. There are misdemeanor arrests or convictions of licensee or employees.
14. The licensee has expanded their business to include three or more facilities over a short period of time which has affected the facility's operations and has seriously affected the licensee's ability to meet the needs of the clients.

**1-0110 CASE ASSESSMENT (Continued)****1-0110**

15. The facility is unsanitary, constantly dirty and poorly maintained.
16. The facility has a history of high turnover in administrative and direct care staff.
17. The facility has a history of no planned activities/programs for their clients.
18. The facility has a history of inadequate storage and retention of medications or mismanagement and recording of medications.
19. The facility has a history of poor food service/storage.
20. Adverse conditions exist which have a direct relationship to the health and safety of clients.
21. Conditions indicate a lack of respect for human dignity.
22. Evidence indicates licensees or employees have aided, abetted or permitted violations of laws or regulations.
23. Misuse of client's cash resources has occurred.
24. Evidence exists of conduct in the operation and/or maintenance of a facility which is inimical to the health, morals, welfare or safety of clients or the people of California.

Keep in mind, when assessing a case, that California Department of Social Services and its agents, State and county licensing staff, are delegated by law with the responsibility of protecting clients in care. Failure of a Licensing Office to take appropriate action in a given case could result in liability to the State and/or county. Moreover, if a Licensing Program Analyst knowingly allows a dangerous situation to exist without using the resources of the State and/or county to abate the problem, and a client is harmed as a result, he or she could incur some personal liability.

Once a facility has been identified as non-compliant, the next step is the completion of the facility compliance plan, unless the problems are serious enough to proceed with stronger actions. Refer to Section 1-1010. If so, consult with the **Local Unit Manager** immediately.

**1-0200 FACILITY COMPLIANCE PLAN****1-0200**

The Licensing Program Analyst is responsible for initiating the LIC 9112, Facility Compliance Plan Form. The LIC 9112 is designed to help formalize a plan of specific actions for the Licensing Program Analyst to use to resolve facility problems with the licensee prior to the need for a Noncompliance Conference. Prior to a meeting with the **Local Unit Manager**, the Licensing Program Analyst will do a complete review of the facility's licensing file to determine patterns of noncompliance, type of violations (A or B), period of time the facility has been out of compliance, and whether the clients are at risk or potential risk. The Licensing Program Analyst then should analyze this information, develop a concise statement of the problem, including a recommended course of action.

The Licensing Program Analyst should discuss the case with the **Local Unit Manager** and **Regional Manager** who will then decide whether the issues are serious enough to discuss the problems with the **Regional Office's** Legal Consultant. If so, the **Local Unit Manager** or **Regional Manager** will contact the Consultant and note the recommended course of action.

The Licensing Program Analyst should initiate a facility compliance plan, by completing the top part and Sections A and B. Section C or the Legal Consultant's recommendation will be completed by either the **Local Unit Manager** or **Regional Manager**. The options for the **Local Unit Manager** are either to concur, request additional data or generally disagree with the plan developed by the Licensing Program Analyst. After making a decision, the **Local Unit Manager** will complete Section D and forward the plan to the **Regional Manager**.

The **Regional Manager** will either approve or reject the plan by completing Section E. If there is agreement that the Licensing Program Analyst and **Local Unit Manager** should have an Informal Meeting with the licensee, a discussion with the **Regional Manager** should take place prior to the scheduled Informal Meeting. If the recommendation is to proceed to a Noncompliance Conference, a copy of the LIC 9112 is to be sent to the **Program Administrator** when the **Regional Manager** determines the case is likely to be escalated due to complaints, media attention, etc.

At the Informal Meeting, the Licensing Program Analyst and **Local Unit Manager** should thoroughly go over the facility compliance plan with the licensee, reach an agreement for correcting the problems and answer any questions and/or concerns the licensee may have.

During the Informal Meeting, other contacts and resources should be made available to the licensee to assist them in reaching substantial compliance with licensing laws and regulations. The Technical Support Program (refer to Section 1-0500 Technical Support Program) provides consultative services, in certain geographical areas, to improve the performance of facilities which are out of compliance with licensing standards. The audit section (refer to Section 1-0700, Audit Services) is available to assist the licensee in obtaining compliance with the safeguarding of client/resident cash resources.

**1-0200 FACILITY COMPLIANCE PLAN****1-0200**

For example, problem licensees may, as part of the Plan of Correction **be** required to attend a training session in the **Regional Office**, where training is presented by the auditor and Licensing Program Analyst. The licensee has the right to agree or decline any assistance that is offered to them.

A summary of the Informal Meeting will be completed on the LIC 809 by the Licensing Program Analyst, signed by the licensee/administrator and given to the licensee outlining what took place during the meeting and specifics concerning plans for correcting the deficiencies. If it is not feasible to complete the summary during the meeting, a detailed letter should be sent to the licensee within five calendar days following the meeting.

The licensee should be advised at the end of the Informal Meeting that failure to correct deficiencies by the given due dates, agreed upon during the meeting, could result in a Noncompliance Conference.

The Licensing Program Analyst shall make an unannounced follow-up evaluation to verify that the corrections have been accomplished within the agreed upon time frame.

**NOTE: Informal Meetings or Noncompliance Conferences are not appropriate in situations of physical and sexual abuse or where there is imminent risk to the clients. These cases should be referred immediately to the Legal Division.**

**1-0300 NON-COMPLIANCE CONFERENCE****1-0300**

The Noncompliance Conference may be the last step prior to initiating administrative action following unsuccessful attempts by the Licensing Program Analyst and **Local Unit Manager** to gain compliance. These efforts may have included the issuance of repeated licensing reports (LIC 809, 9089, 9090, 9091, or 9099), the issuance of civil penalties or other Informal Meetings or telephone conversations with the licensee. The conference with the **Regional Manager** takes place when the problems have not been corrected and legal action is otherwise the next step. If the **Regional Office** staff have any questions concerning the need for a Noncompliance Conference, rather than going directly to an administrative action, their department legal consultant should be consulted for guidance.

Prior to a Noncompliance Conference, licensing will notify the licensee in writing of the time, date, place and reason for the conference. Refer to Section 1-0315 for a sample letter to be sent to licensee. The licensee is also told that he or she may bring his or her administrator, legal representative, CEO, or whomever he or she chooses to the conference.

Prior to the conference, the Licensing Program Analyst, **Local Unit Manager**, **Regional Manager** and any other interested or pertinent party (county representative, Department of Education Child Development Division Representative, etc.) shall meet to discuss the case and the conference presentation.

**1-0300 NON-COMPLIANCE CONFERENCE (Continued)****1-0300**

This discussion should occur when possible and only when applicable.

The purpose of the Noncompliance Conference is to, in the presence of the **Regional Manager**, review problem areas and impress upon the licensee the seriousness of the situation. The licensee should be informed that unless the deficiencies are corrected and continued compliance is maintained, the case will be referred to the Legal Division for administrative action. In addition, it must be made clear to the licensee that the conference does not in any manner excuse past problems or resolve the Department's case against the licensee if the problems are not corrected.

During or after the conference is held a summary of the conference (LIC 9111) is completed by the Licensing Program Analyst, signed by the **Regional Manager** and a copy given to the licensee. The summary describes and documents the problems discussed, the agreement of the licensee to bring the facility into compliance and the consequences of continuing to operate out of compliance.

**1-0310 DOCUMENTING THE NON-COMPLIANCE CONFERENCE****1-0310**

The LIC 9111 is a form designed for use at the time of the Noncompliance Conference. The portion of page one of the LIC 9111 with the information identifying the facility and the list of issues or deficiencies should be completed by the Licensing Program Analyst prior to the conference.

The remainder of the form may be completed by the Licensing Program Analyst or **Local Unit Manager**. All individuals attending the conference must be listed on page one of the LIC 9111. The second page of the form must provide a summary of what was agreed upon between the licensee and the **Regional Manager** in order to bring the facility into compliance, the plan of action date and the consequence(s) to the licensee if he/she fails to take the actions within the date(s) specified on this form.

It is imperative that the completion of the LIC 9111 is concise, complete and focused on the issues and facts. If an additional sheet is necessary, use copies of page two of the form. After the licensee signs the form, the **Regional Manager** will sign and provide a copy to the licensee.

There may be instances when it is not feasible to complete the LIC 9111 at the time of the conference. During such conferences, there may be numerous issues that need to be discussed with Department staff prior to completing the summary. At times, legal consultants may need to be contacted after the conference regarding information and issues that emerge during the conference. In these situations, the LIC 9111 or a follow-up letter should be sent by certified mail to the licensee within five calendar days of the conference. This should be documented on the back of the LIC 9111, so the licensee is aware that detailed information regarding the conference will follow.

## 1-0315 SAMPLE NON-COMPLIANCE CONFERENCE LETTER

1-0315

STATE OF CALIFORNIA - HEALTH AND HUMAN SERVICES AGENCY

GRAY DAVIS, Governor

DEPARTMENT OF SOCIAL SERVICES  
744 P Street, M.S. \_\_\_\_\_, Sacramento, CA 95814



Date \_\_\_\_\_

\_\_\_\_\_  
(Licensee Name)  
\_\_\_\_\_  
(Facility Name)  
\_\_\_\_\_  
(Address)  
\_\_\_\_\_  
(City, State, Zip)

Dear \_\_\_\_\_:

The policy of Community Care Licensing Division is to ensure that licensees are afforded an opportunity to correct deficiencies prior to our initiating legal action to close a facility. With the exception of situations where an immediate danger to clients exist, staff from the **Regional Office** will work with the licensee to gain compliance and whenever possible, to prevent the closure of the facility.

In order to accomplish this goal, a Noncompliance Conference is held with the licensee prior to referring a case for legal action. Due to problems that currently exist at your facility, we would like to give you an opportunity to bring your facility into compliance. Therefore, we have scheduled a conference with you on \_\_\_\_\_, at \_\_\_\_\_ in the \_\_\_\_\_ **Regional Office** at the above address. Your attendance at this conference is mandatory.

The purpose of the conference is to discuss the existing deficiencies, any current problem areas in the operation of your facility, the seriousness of the situation, and the legal action which will be taken by the Department if the situation is not corrected. Your continued noncompliance will result in a referral for legal action, so it is extremely important that all deficiencies be corrected in a timely manner.

If you wish, you may bring someone to help you in this review. It can be any person or persons of your choosing who may be of assistance to you. Also, if you are unable to keep this appointment, please contact \_\_\_\_\_ at ( ) \_\_\_\_\_, immediately so we may reschedule it as soon as possible.

Sincerely,

**Regional Manager****This letter is available in the common library.**

**1-0320 COMPLIANCE PLAN CONFERENCE CRITERIA****1-0320**

The Compliance Plan is a Plan of Correction submitted by the licensee and the **Regional Office** that establishes specific actions the provider will take to improve the operation of the facility. The Compliance Plan is an enforcement tool that may be appropriate in a variety of situations where enforcement intervention is warranted. It is not an option when there is an immediate threat to the health and safety of clients or in situations where the safety of clients is of concern.

The Compliance Plan may be used in lieu of a request for legal review when there is clear evidence that the licensee is willing and able to maintain compliance with licensing regulations and statutes. The licensee must also be capable of providing the level of care and supervision needed by clients in care.

The Compliance Plan may be used in the following situations:

- The facility provides marginal care for clients as documented in licensing reports but has demonstrated the ability to improve the quality of care and supervision.
- The facility has a history of coming into compliance after being cited, but fails to remain in substantial compliance.
- The licensee is cooperative and has made a good faith effort to comply, but needs additional training and consultation.
- The evidence justifies an enforcement action, but probation rather than revocation of the license is the desired or likely outcome. The likelihood of probation must be confirmed by consultation with the **Regional Office**'s legal consultant.

The Compliance Plan is a demonstration of the licensee's intention to make a good faith effort to comply and remain in substantial compliance with licensing regulations and statutes. If the licensee fails to maintain compliance with the conditions established in the plan, revocation action may be pursued.

The Compliance Plan does not preclude the Department from initiating administrative action if the licensee fails to implement and maintain improvements to the quality of care and supervision or fails to make other changes as reflected in the plan. The Compliance Plan should be viewed as an additional way of responding to problem facilities, especially those facilities with other than serious health and safety problem histories.

- The Compliance Plan may be used with all categories of facilities and may be used independent of the Non-Compliance Conference.
- It does not preclude additional citations by the Licensing Program Analyst.
- The Licensing Agency may make additional visits to ensure compliance.

**1-0320 COMPLIANCE PLAN CONFERENCE CRITERIA (Continued)****1-0320**

- It does not prohibit the assessment of Civil Penalties.
- It does not prohibit the subsequent issuance of an Accusation, employee exclusion or temporary suspension order if conditions warrant.
- It does not preclude the assessment of Civil Penalties.
- It will become part of the facility's plan of operation for the duration of the plan.

The Compliance Plan is a public document signed by the licensee and **Regional Manager** that (1) clearly describes the licensing violations which have occurred, (2) identifies the corrections which the licensee will implement and the time frames for implementation, (3) spells out the consequences for failure to fulfill the terms in the plan and (4) preserves the Department's options, should the situation require additional action. A copy of the plan will be maintained in the facilities public file and failure to abide by the conditions of the plan may result in a referral for revocation without the need to conduct a Non-Compliance Conference.



**1-0325 SAMPLE COMPLIANCE PLAN CONFERENCE LETTER****1-0325**

STATE OF CALIFORNIA - HEALTH AND HUMAN SERVICES AGENCY  
DAVIS, Governor

GRAY

**DEPARTMENT OF SOCIAL SERVICES**

744 P Street, Sacramento, CA 95814

Date \_\_\_\_\_

Licensee Name \_\_\_\_\_  
Corporate President \_\_\_\_\_  
Facility Name \_\_\_\_\_  
Facility Address \_\_\_\_\_  
Facility Type \_\_\_\_\_

Dear Licensee,

The California Department of Social Services, Community Care Licensing Division has determined that Licensee \_\_\_\_\_, who is licensed to operate [FACILITY NAME AND ADDRESS], has violated licensing laws in the following general categories: ☐ Personal Rights ☐ Financial Issues ☐ Personnel: Qualifications and Duties ☐ Food Services ☐ Reporting Requirements ☐ Record Keeping Health Related/Incidental Medical Services ☐ Client Supervision, Assistance and Care ☐ License Limitations ☐ Physical Plant ☐ Other. These violations are described in licensing reports and other documents dated \_\_\_\_\_, and \_\_\_\_\_.

Licensee(s)/Corporate President/Board of Directors acknowledge responsibility for the deficiencies cited in licensing reports and other documents referenced above.

Licensee(s) Corporate President/Board of Directors \_\_\_\_\_, having fully reviewed the facility file, which details citations for violations of the Health and Safety Code and/or Title 22 of the California Code of Regulations, submit the following Compliance Plan to correct or remedy these deficiencies in compliance.

**LICENSEE'S COMPLIANCE PLAN**

The licensee agrees to make specific operational changes with regard to the administration and operation of the facility. **(N)**

**(For Example)**

- The licensee/administrator will be present at facility \_\_\_\_\_ number of hours per week.
- Staff for a.m and p.m. shifts will be increased to a total of \_\_\_\_\_ for a.m. and \_\_\_\_\_ for p.m.

**1-0325 SAMPLE OF COMPLIANCE PLAN CONFERENCE LETTER**  
(Continued)**1-0325**

- Quarterly training for all direct care staff in the areas of medication storage, handling, dispensing, and record keeping will be given or obtained.

The licensee acknowledges receiving a copy of statutes/regulations and fully understands the licensing requirements pertaining to the operation of the facility. **(M)**

After review, it appears to the Department that this Compliance Plan addresses the deficiencies in compliance listed above. The Department will monitor the licensee's compliance with the Compliance Plan over the next [TIME PERIOD] to determine whether the licensee is operating the facility in a manner consistent with the law and the Compliance Plan. The licensee understands and acknowledges that the Department, at its discretion, will make unannounced case management visits to monitor the licensee's compliance with this Compliance Plan. **(M)**

During the time period when the Compliance Plan is in effect, if the Department determines that the licensee has violated the law or that the Compliance Plan is inadequately implemented to remedy the licensee's noncompliance, the Department, in its discretion, may refer the facility for revocation of the license or other appropriate administrative action. **(M)**

By accepting this Compliance Plan and monitoring the facility's operation under the terms agreed to by the licensee, the Department is not deprived of its authority to take appropriate formal legal action under the Health and Safety Code when such action is deemed necessary by the Director. **(M)**

In the event that formal legal action is taken, nothing in this plan precludes the Department from including non-compliance issues referred to in this Compliance Plan. **(M)**

**Regional Manager** \_\_\_\_\_ Date \_\_\_\_\_

Licensee/Board President \_\_\_\_\_ Date \_\_\_\_\_

*N – To Be Negotiated*

*M – Mandated*

c: File  
Licensee  
**Program Administrator**

**\* THIS LETTER IS AVAILABLE IN THE COMMON LIBRARY.**

**1-0330 COMPLIANCE PLAN CONFERENCE OFFICE PROCEDURES****1-0330**

When the Licensing Program Analyst identifies a facility with non-compliance issues that may be resolved by the use of the Compliance Plan:

1. The Licensing Program Analyst reviews the file, completes a “Facility Compliance Plan Form” (LIC 9112), informs the **Local Unit Manager** of the situation and recommends the use of a Compliance Plan conference.
2. The **Local Unit Manager** reviews:
  - a. The Licensing Program Analyst’s documentation and recommendation for a Compliance Plan.
  - b. Any plans of correction previously developed by the licensee.
  - c. Summaries of any non-compliance conferences previously held with this licensee.
  - d. Documentation of any Technical Support Program Training. Technical Support Program services are voluntary and should not be included as a requirement of the Compliance Plan. However, Technical Support Program services should be discussed as a resource for residential care licensees signing Compliance Plans. At the Compliance Plan conference, residential care licensees should be notified of the availability of Technical Support Program services. The licensee’s interest or non-interest in the services should be noted and if the licensees are interested in the services, a referral should be made to the Technical Support Program analyst assigned to the **Regional Office**.
3. The **Local Unit Manager** and Licensing Program Analyst develop a Compliance Plan tailoring the plan to the specific compliance issues identified.
4. The **Local Unit Manager** makes recommendations and submits the plan to the **Regional Manager** for review.
5. The **Regional Manager** reviews:
  - a. The summary of the Non-Compliance Conference or other enforcement/consultation actions.
  - b. The current status of any deficiency reports.
  - c. The recommendation and rationale for the Compliance Plan.

**1-0330 COMPLIANCE PLAN CONFERENCE OFFICE  
PROCEDURES (Continued)****1-0330**

6. The **Regional Manager** advises the **Program Administrator** of the intended action.
7. County licensing personnel advise the regional county liaison of the proposed use of the Compliance Plan.
8. The **Regional Manager** sends the licensee a letter explaining the Department's desire to enter into a Compliance Plan in order to bring the facility into compliance and avoid taking administrative action. A copy of the draft Compliance Plan proposed by the Department may be sent with the letter. A meeting date and time are specified to review the file, go over the plan and obtain signatures. If the licensee does not wish to participate, the matter will be referred for administrative action.

There are two components to a Compliance Plan Conference: (1) The licensee reviews the facility file, (2) The licensee meets with the **Regional Manager**, Licensing Program Analyst and **Local Unit Manager** to discuss the plan. In this meeting:

- Violations are reviewed.
- Corrective actions and time frames are developed and agreed upon.
- Consequences for failure to comply are reviewed.

Three copies of the plan are signed: One for the licensee, one for the facility's public file, one for the **Statewide Program Office**. **Regional Office**s will identify/flag the files of facilities, which have signed Compliance Plans in the same way legal cases are identified. A log will be maintained of all facilities with Compliance Plans. Licensing Program Analysts will flag all facilities with Compliance Plans on the problem facility log.

Periodic site visits may be conducted by the Licensing Program Analyst to ensure compliance. Violations of the conditions will be reviewed by the **Local Unit Manager**/Licensing Program Analyst and a recommendation for amending, dissolving, or continuing the plan will be forwarded to the **Regional Manager** for decision. If dissolution is sought, administrative action will be initiated through the standard legal process and a letter of dissolution sent to the licensee with copies to the facility's file and **Program Administrator**.

**1-0335 LETTER TO SCHEDULE A COMPLIANCE PLAN MEETING****1-0335**

STATE OF CALIFORNIA - HEALTH AND HUMAN SERVICES AGENCY

GRAY DAVIS, Governor

**DEPARTMENT OF SOCIAL SERVICES**

744 P Street, Sacramento, CA 95814



Date \_\_\_\_\_

Licensee Name \_\_\_\_\_

Address \_\_\_\_\_

City, State Zip Code \_\_\_\_\_

RE: Facility Name and Facility Number \_\_\_\_\_

Dear Licensee,

The \_\_\_\_\_ **Regional Office** has reviewed the licensing history of your facility(ies), including prior citations and efforts to achieve compliance with licensing requirements and has concerns regarding noncompliance issues relating to deficiencies with Title 22 of the California Code of Regulations. We would like to offer you the opportunity to enter into a Compliance Plan with this office. The Compliance Plan establishes specific actions you will take to improve the operation of your facility. We anticipate that participation in this plan will help minimize the need for administrative action against your license.

A meeting has been scheduled at the \_\_\_\_\_ **Regional Office** at \_\_\_\_\_ on \_\_\_\_\_ at \_\_\_\_\_ a.m./p.m. to discuss a Compliance Plan for your facility. Your facility file will be available for your review; please allow ample time before the meeting to review you file. (Optional – A proposed plan has been enclosed for your review and will be a starting point for our discussion).

The Department appreciates your anticipated cooperation and willingness to participate in this Compliance Plan. If you have any questions, you may contact your Licensing Program Analyst at ( ) \_\_\_\_\_.

Sincerely,

**Regional Manager**

c: File

Licensee

**Program Administrator**

\* **THIS LETTER IS AVAILABLE IN THE COMMON LIBRARY.**

**1-0400 SUPPORT UNITS****1-0400**

The Department uses investigative and support units to assist in cases both before and after they are referred to the Legal Division for administrative action. The following sections define the purpose and functions of the Technical Support Program Section (1-0500), **Program Investigations** (1-0600) and the Audit Section (1-0700).

**1-0500 TECHNICAL SUPPORT PROGRAM****1-0500**

The Technical Support Program provides consultation and training to residential care providers to assist them to licensed achieve and maintain compliance with licensing standards. The Technical Support Program provides services to facilities located throughout the State.

The Technical Support Program is not responsible for the enforcement of regulations. However, serious health and safety violations which pose an imminent danger to residents will be reported to the local licensing Regional Office.

The Technical Support Program is responsible for coordinating the identification of facilities in need of assistance with the licensing Regional Office. It assists in improving communication between care providers and the Licensing Agency and provides problem analysis, technical support and training services to referred facilities. The Technical Support Program also provides information through a resource library which is available to referred facilities as well as facilities which have self-identified needs.

**1-0600 PROGRAM INVESTIGATIONS****1-0600**

Under the direction of the Program Administrators, Program Investigations receives requests for investigative services from the Regional Offices within the Community Care Licensing Division, the California Department of Social Services Legal Division and other authorized sources.

**1-0610 INVESTIGATIVE SERVICES****1-0610**

Program Investigations provides five types of investigative services:

1. **Investigation:** Objective investigation of the complaint to determine the validity of the allegations, determine the findings, recommend course of action, and prepare written report.
2. **Investigation Assignment:** Specific investigative tasks (e.g., obtaining criminal record verification, police reports, or hospital records, serving temporary suspension orders, interviewing suspects or victims).

**1-0610 INVESTIGATIVE SERVICES (Continued)****1-0610**

3. **Consultation Services:** Suggestions, instructions and information both general and specific, to assist Regional Office staff in conducting investigations or evaluating information.
4. **Legal Support:** Assistance to attorneys in the administrative, criminal, or civil prosecution of established violations.
5. **Criminal Arrest Inquiries:** Investigations into the alleged criminal conduct of individuals subject to Community Care Licensing Division jurisdiction.

**1-0620 INVESTIGATIVE PRIORITIES****1-0620**

Complaints will be investigated by the appropriate staff (Program Investigations and/or Regional Office) depending on the nature and severity of the complaint allegation and/or the decisions made by the Team Review during the referral process (see *Evaluator Manual* Section **Appendix F**) for discussion of Team Review process). The most serious complaints will be Priority I and the least serious complaints will be Priority IV.

Please note that the definitions of the Priorities are not the same as the definitions of abuse provided by statutes (i.e. Penal Code 11165.6-definition of child abuse; Welfare and Institution Code 15610.07-definition of elder abuse)

The Local Unit Manager or Regional Manager will refer all complaints that meet the criteria for Priority I and/or II cases to Program Investigations for investigation. This type of complaint will be referred to Program Investigations within eight working hours of receipt via telephone or FAX and prior to any action being taken by the Regional Office. Case acceptance or rejection will be determined after consultation between the Regional Office staff and Program Investigations. The Regional Manager may refer Priority III complaints, as he/she deems appropriate. The inquiry into Priority IV complaints will be the responsibility of the Regional Office.

In cases of multiple allegations of various priorities, the Team Review Process (See *Evaluator Manual* Section **Appendix F**) will determine Investigator/Licensing Program Analyst responsibilities during the investigation. In general, the Licensing Program Analyst will retain responsibility for the investigation of Priority III and IV allegations, unless otherwise determined through prior agreement. The assigned Investigator and Licensing Program Analyst will coordinate their investigations through regular consultation.

In the case of a probable temporary suspension order, the investigator must keep the Program Administrator/Regional Manager/Assigned Attorney informed of the progress of the investigation through the Team Review Process (see *Evaluator Manual* Section **Appendix F**). Supporting documentation should be sent by the investigator on an ongoing basis to appropriate staff.

**1-0620 INVESTIGATIVE PRIORITIES (Continued)****1-0620**

Once the investigation is completed, the final report should be sent to the Regional Manager and Program Administrator within the timeframes established by the Regional Office/Program Investigation Team. **Refer to Evaluator Manual Complaints Section 3-2010, General Statement for definitions of Priority I – IV.**

**1-0630 CASE ACCEPTANCE****1-0630**

As a result of Program Investigations' limited resources and the necessity that the Community Care Licensing Division investigate serious complaints in a timely manner, the following guidelines are established:

**Investigations:** Program Investigations will accept requests for investigations when the investigator(s) assigned to the Regional Office area can reasonably expect to start the case within ten working days and complete the case within 90 **(calendar)** days.

**Assignments:** Program Investigations will accept requests for an investigative assignment when the investigator(s) assigned to the Regional Office area can reasonably expect to complete the assignment within any required time limits.

**Unlicensed Facility Investigations:** Program Investigations will accept requests for unlicensed facility investigations when efforts by Regional Office staff have failed to obtain compliance according to Section 1-0640.

When the Regional Office has more requests for services than Program Investigations can reasonably complete in a timely manner, Program Investigations will accept the higher priority case(s). When the Program Supervising Investigator and the Regional Office staff must select between cases of equal priority, the following factors will be utilized in the selection process:

1. The possibility of continued abuse to clients and the severity of the injury(s).
2. The amount of involvement of local law enforcement or other investigative organizations in the case.
3. The requirement for a lengthy investigation.
4. The ability of the assigned Licensing Program Analyst to handle the investigation with case consultation from Program Investigations.
5. Investigations which require travel outside the Regional Office boundaries.

The operational necessity of the Division may mandate deviance from this policy. Exceptions should be requested through the Program Administrator.



**1-0640 UNLICENSED FACILITY COMPLAINT INVESTIGATIONS****1-0640****Rationale**

Program Investigations is responsible for the investigation of unlicensed child care facilities, residential care facilities for the elderly, residential care facilities for the chronically ill and community care facilities. The large number of unlicensed facilities in all categories makes it operationally impractical for Program Investigations to accept every complaint of known or suspected unlicensed operation. Consequently, and in order to establish a system of priorities, Division policy defines specific Regional Office responsibilities to be met prior to acceptance by Program Investigations of an unlicensed facility complaint.

**Complaints and Facility Visit**

The Regional Offices will receive and review all complaints of unlicensed facilities. If the complaint is routine, Regional Office staff will make the required ten-day visit. If the complaint indicates severe danger to clients or Priority I or II Referral, the Regional Office will immediately refer the complaint (*LIC 802*) and the *Program Investigations Attachment for Unlicensed Referrals* (see *Evaluator Manual* Section [Appendix F](#)) to Program Investigations who will assume the responsibility for the ten-day visit, unless other arrangements are made with Regional Office staff.

**Facility Visit Results**

1. **Unfounded:** If a review of all evidence obtained by the Licensing Program Analyst during the visit indicates an unfounded allegation, the Regional Office will close the case.
2. **Inconclusive:** If evidence obtained during the visit is inconclusive, the Regional Office should consult with Program Investigations for possible assistance. This may include cases where the Licensing Program Analyst was denied entry.
3. **Substantiated/Routine:** If evidence obtained indicates substantiation of the allegation and no apparent danger to clients, the Licensing Program Analyst will issue a Notice in Violation of Law and requiring the operator to submit an application as soon as possible. For family child care homes, Licensing Program Analysts must wait 15 days after requesting the operator to submit an application before issuing a Notice in Violation of Law. Refer to *Evaluator Manual* Section 1-1190 for notification procedures.
4. **Substantiated/Danger to Clients:** If evidence obtained by the Licensing Program Analyst during the visit indicates substantiation of the allegation and an apparent danger to the clients in care, the Licensing Program Analyst will issue a Notice in Violation of Law and refer the case to Program Investigations as soon as possible. Refer to *Evaluator Manual* Section 1-1190 for notification procedures. The Licensing Program Analyst shall also, when appropriate, notify local law enforcement.

**1-0640 UNLICENSED FACILITY COMPLAINT INVESTIGATIONS**  
(Continued)**1-0640****Application**

1. **Application Granted:** If the Regional Office grants the operator a license, the case should be closed.
2. **Application Denied:** If the Regional Office denies the unlicensed operator's application, and the Regional Office has confirmed that the applicant has failed to remove clients within the required time frame the case should be referred to Program Investigations as soon as possible. Refer to Evaluator Manual Section 1-1190 for notification procedures.
3. **No Application:** If no application has been received within 15 days, the Regional Office will refer the case to Program Investigations. If the Regional Manager believes the unlicensed operator will comply with the law in the foreseeable future, the referral may be withheld at his or her discretion. Refer to Evaluator Manual Section 1-1190 for notification procedures.

**1-0650 CASE REFERRALS FROM OUTSIDE SOURCES****1-0650**

When the Program Investigations receives complaints from sources other than through the **Regional Offices**, the complaints shall be referred to the appropriate Regional Office with the following expectations:

**Law Enforcement Agencies**

When Program Investigations receives a complaint directly from a law Enforcement Agency, a service request will be prepared by Program Investigations and the appropriate Regional Manager will be notified as soon as possible. An investigation will be initiated by either the Statewide Program Office or the Regional Office in accordance with established policy and procedures.

**Deputy Director/Program Administrator**

Requests for investigation from the Deputy Director or Program Administrator shall be documented on a service request by Program Investigations. The Regional Manager will be notified at the direction of the Deputy Director and/or Program Administrator.

**1-0700 CENTRAL OPERATIONS BRANCH, AUDIT SECTION****1-0700**

The Community Care Licensing Division, Audit Section receives requests for audit services from **Regional Offices** when there are financial concerns at all facility types except Group Homes or Foster Family Agencies. Financial/audit needs involving Group Homes and Foster Family Agencies are to be directed to the Foster Care Audits Branch in the Children and Family Services Division. You can use the same form (LIC 837) (Services Request for Audit Services) and process for requesting audit services from Foster Care Audits Branch. Forward Group Home and Foster Family Agency audit request to the Foster Care Audits Branch at Mail Station 19-24. All other audit requests are to be forwarded to the Central Operations Branch, Audit Section at Mail Station 19-49. **Program Administrators** and **Local Unit Managers** are responsible for referring services requests for cases that meet Audit Section criteria.

The primary objectives of the Audit Section includes, but are not limited to ensuring that:

1. Client cash resources are handled, safeguarded and accounted for properly.
2. Applicants and licensees have a financial plan which ensures sufficient resources to meet operating costs.
3. Licensing staff make timely and informed audit-related decisions.

**1-0710 AUDIT SERVICES****1-0710**

Audit services focus on the completion of audit casework in a timely manner, through the performance of trust and solvency audits conducted in accordance with Generally Accepted Governmental Auditing Standards. Providing these services in support of **Regional Office** functions is Audit Section's primary role. Within Community Care Licensing Division, Audit Section staff possess the necessary training and expertise to evaluate financial issues in detail.

Requests for services by the **Regional Office** at times exceed the Audit Section's capabilities due to limited staffing. When this occurs, the Audit Section attempts to address this problem by limiting the scope of services for particular audits by focusing solely on the primary issue identified in the LIC 837. These limited scope assignments are referred to as financial investigations for Audit Section inventory purposes. Financial investigations conform to Generally Accepted Governmental Auditing Standards.

Auditors may also provide opinions on audit-related issues via phone, fax and e-mail. This type of service is referred to as a consultation. All consultations are documented and inventoried. A copy of the completed consultation will be shared with the appropriate **Regional Office**. By conducting financial investigations and consultations, the Audit Section attempts to respond to specific **Regional Office** needs timely without having to conduct comprehensive trust or solvency audits.

**1-0710 AUDIT SERVICES (Continued)****1-0710**

The Audit services must be requested by submitting a LIC 837. All LIC 837s submitted for audits are to be completed by **Regional Office** staff and approved by **Regional Office Managers** and **Program Administrators**.

The Audit Section provides other services that are secondary to performing audits, investigations and consultations. These services include, but are not limited to:

1. Assisting in the development of policies, procedures, regulations, and forms.
2. Providing training to applicants, licensees and Community Care Licensing Division staff.
3. Processing requests for *Group Residence Locator System* information. A Group Residence Locator System provides a listing of Supplemental Security Income/State Supplementary Program (SSI/SSP) recipients at a specific address. Additionally, the Audit Section can obtain information from the Secretary of State on the status of corporations (Certificate of Good Standing). **Group Residence Locator** system and corporation status requests are transmitted to Audit Section by interoffice mail or fax on a LIC 837. Requests for Group Residence Locator system and corporate status do not need **Regional Office Manager** or **Program Administrator** approval.
4. Filing claims against facility surety bonds when licensees fail to make determined restitution to or on behalf of clients.
5. Assisting staff attorneys in administrative actions that include audit findings.

**1-0720 DESCRIPTION OF AUDIT SERVICES****1-0720**

**TRUST AUDIT:** A program audit in compliance with Generally Accepted Governmental Auditing Standards. Trust audits include reviewing and monitoring a licensee's compliance with safeguarding, bonding and accounting statutes and regulations regarding the handling of client cash resources. Trust audits are conducted when it is suspected that clients may have been the victims of fiduciary abuse perpetrated by the licensee or facility staff. Audit findings may lead to administrative actions to revoke facility licenses. Findings may also be used to support criminal prosecutions.

**SOLVENCY AUDIT:** A program audit in compliance with Generally Accepted Governmental Auditing Standards. Solvency audits provide a determination regarding whether an applicant's or licensee's financial plan ensures sufficient resources to provide adequate care and supervision to facility clients.

**1-0720 DESCRIPTION OF AUDIT SERVICES (Continued)****1-0720**

**INVESTIGATION:** A review involving one or more of the activities normally conducted in the performance of trust or solvency audits. Financial investigations provide the **Regional Offices** with input to assist in making timely informed audit-related decisions. These investigations are normally performed without having thoroughly analyzed all related issues, without on-site testing of source data and without the usual supervisory oversight. Investigations include, but are not limited to, opinions regarding start-up funds, credit reports, bankruptcies, safeguarding, commingling and surety bonds. Investigations are permitted under Generally Accepted Governmental Auditing Standards in Sections 2.10 and 2.11 based on "agreed upon procedures" established by Audit Section and described in Chapter 1 of the Program Support Bureau, Audit Section Manual.

**CONSULTATIONS:** Providing advice on financial matters usually via phone, fax and/or e-mail. All consultations are documented and inventoried. The consultation is usually summarized in an e-mail and shared with the **Regional Office**.

**1-0730 REQUESTING AUDIT SERVICES****1-0730**

1. Requests for audit services are to be made via a *Service Request of Audit Services* (LIC 837). The LIC 837 summarizes the information required for the audit referral. The documentation needed for trust and solvency audit referrals is particularly important as it assists the Audit Section in the development of a pertinent audit plan and priority determination.
2. Referrals without the necessary support documents may be returned to the **Regional Office** for additional information. Service requests must be completed by **Regional Office** staff and approved by **Regional Office Managers** and **Program Administrators**.
3. Requests for a *Group Residence Locator System* report and corporate certificate of good standing are also to be forwarded using a LIC 837. Completion instructions appear on the back of the LIC 837. Neither **the Regional Office Manager** nor the **Program Administrator** approval is necessary for this type of request. These requests may be transmitted to the Audit Section by interoffice mail or fax.

**1-0740 PRIORITY CRITERIA FOR AUDITS****1-0740**

Requests for audit services are staffed using the priority criteria described below. Referrals of the same priority are assigned based on legal timeframes, number of clients at financial risk and amount of audit time recently provided to the requesting **Regional Office**.

**PRIORITY 1**

1. Referrals in which the audit findings, if relevant, will be included in an administrative action.

**1-0740 PRIORITY CRITERIA FOR AUDITS (Continued)****1-0740**

2. Referrals in which the **Regional Office** is planning on taking administrative action due to fiduciary abuse, fraud, or embezzlement greater than \$400 (grand theft) perpetrated against facility clients.
3. Referrals in which there are solvency concerns regarding an application for licensure.
4. Requests for service made by Bureau Chiefs, **Program Administrators** and Legal.

**PRIORITY 2**

1. Referrals in which **Regional Office** staff suspect safeguarding, accounting and/or bonding problems that may become the basis of an administrative action.
2. Referrals in which **Regional Office** staff suspect solvency problems involving licensed facility and the **Regional Office** has a documented history of problems involving physical plant, inadequate staff and/or insufficient food.

**PRIORITY 3**

Referrals in which there appear to be trust or solvency noncompliance but the **Regional Office** does not anticipate administrative action.

**1-0750 CASE ACCEPTANCE AND HANDLING****1-0750**

The Audit Section attempts to work all requests for audit services. The Audit Section will work with **Regional Offices** to establish parameters that address specific **Regional Office** concerns. Should the Audit Section be unable to handle requests within a reasonable amount of time, **Regional Offices** will be informed and LIC 837s returned.

Upon assignment of an audit referral, a copy of the LIC 837 is returned to the requesting Licensing Program Analyst advising them that the case has been assigned. The status of an audit referral can be obtained by checking the Audit Section's Intranet site and viewing "Audit Inventory."

**1-0760 TRUST AUDITS****1-0760**

Trust audits determine if licensees or facility staff have committed fiduciary abuse against clients. The Audit Section defines fiduciary abuse as a situation in which any person who cares for or who stands in a position of trust to a dependent or elderly adult, takes, conceals, or uses their money or property for any purpose not in the due and lawful performance of his or her trust.

**1-0760 TRUST AUDITS (Continued)****1-0760**

Typically, trust audits are performed when the **Regional Office** has a strong suspicion or evidence that a licensee is engaged in unacceptable or questionable safeguarding activities. These activities include, but are not limited to, the following:

1. Basic service rates exceed current maximum allowed Supplemental Security Income/State Supplementary Program (SSI/SSP).
2. Inaccurate or improper record keeping of client cash resources.
3. Inappropriate or questionable purchases are being made from client cash resources.
4. Supporting receipts for client purchases are missing.
5. Clients or their responsible persons claim that the clients are not receiving their cash resources.
6. A facility is safeguarding or should be safeguarding client cash resources, and the facility is either not covered by a surety bond or the bond is inadequate.
7. The licensee or staff person is joint owner of a client's bank account.
8. The licensee or staff person has obtained a power of attorney for a client.
9. The licensee or staff person has failed to report gifts exceeding \$100, e.g. being named on a client's will, receiving real estate, automobiles, large sums of money, etc.
10. The licensee is commingling client funds with facility funds or facility owner's personal funds.
11. There is strong suspicion that a facility, in ways not specifically identified above, may be violating their fiduciary responsibility.

**1-0762 CONVEYANCE OF AUDIT FINDINGS VIA AN AUDIT REPORT (Repealed 7/00)****1-0762****1-0764 CONVEYANCE OF AUDIT FINDINGS VIA THE LIC 809 PROCESS (Repealed 7/00)****1-0764****1-0766 CORRECTIVE ACTION ACCOMPANYING AUDIT FINDINGS (Repealed 7/00)****1-0766****1-0768 APPEAL PROCESS FOR TRUST AUDIT FINDINGS (Repealed 7/00)****1-0768**



**1-0770 SOLVENCY AUDITS****1-0770**

Solvency audits determine if licensees or applicants have a sound financial plan. In the case of an applicant, the Audit Section defines a sound financial plan as follows:

1. The applicant has access to resources that are adequate to operate the proposed facility for a minimum of three months.
2. The proposed facility is capable of generating a reasonable profit to sustain itself.

If the **Regional Office** believes there is reasonable doubt that the applicant has an adequate financial plan based on the financial forms and credit report obtained, it is recommended that the **Regional Office** forward this information to the Audit Section for review.

The purpose of the solvency audit on an existing licensee is to determine whether the licensee has, and is capable of maintaining, a financial plan which ensures resources necessary to meet operating costs for care and supervision of clients. Typically solvency audits will only be performed if the **Regional Office** has a documented history, including *Facility Evaluation Reports* (LIC 809s), of problems involving physical plant, inadequate staff, insufficient food, etc. Some indications of financial problems are outlined below:

1. Lack of adequate food supplies.
2. Specific services not being provided as agreed upon in the admission agreement.
3. Lack of client supervision.
4. Limited access to essential utilities such as water, air conditioning and heat.
5. Client relocation refunds late or not paid.
6. Checks returned "Account Closed."
7. Checks returned "Not Sufficient Funds".
8. Non-payment of property or payroll taxes.
9. Government or bank seizure of assets.
10. Notice of foreclosure.
11. Inside tips from employees or former employees with regard to the licensee's financial problems.
12. Complaints from clients or members of their families regarding lack of food and services.



**1-0770 SOLVENCY AUDITS (Continued)****1-0770**

13. Complaints from commercial vendors about non-payment or late payment of bills.
14. Evidence of financial problems not specifically identified above that indicate that a licensee may not have an adequate financial plan.

**1-0780 CONVEYANCE OF AUDIT FINDINGS****1-0780**

1. Upon completion of a trust or solvency audit, the Audit Section conveys the audit findings to the licensee/auditee via certified mail. Included in the certified mailing is a notice advising the licensee to provide, within 15 days of receipt, any additional information they believe could impact the draft audit findings. Based on the licensee's input, the draft findings may be amended.
2. After the licensee has been provided 15 days to respond to the audit findings, copies of the audit package are forwarded to the Central Operations Branch Chief, Policy and Audit Bureau Chief, Program Administrator, Regional Manager, Local Unit Manager and the Licensing Program Analyst. A copy is also forwarded to Legal if an administrative case is ongoing. An internal memo is included in the audit package recommending that the audit findings be cited by the Regional Office via a *Facility Evaluation Report* (LIC 809). The LIC 809 referencing the audit findings is delivered to the licensee by the Licensing Program Analyst. Auditors will accompany the Licensing Program Analyst if their presence is determined to be necessary by the Audit Manager and the Program Administrator.
3. Audit findings are prepared in conformance with statutes and regulations requiring client confidentiality. Client names are referenced by number in the audit findings, which is accompanied by a *Confidential Names* (LIC 811) list.
4. Appeal rights for audit findings issued via LIC 809 are the same as other LIC 809 citations except that the auditor and/or Audit Manager will be present at the appeal meeting to support the audit findings and address licensee questions and objections, if any.
5. When audit findings are only regulatory in nature with no monetary differences, the corrective action instructions are normally straightforward and follow-up is provided by the Regional Office. When audit findings involve monetary differences, follow-up is the responsibility of the assigned auditor. It is the auditor's responsibility to keep Regional Office staff informed regarding the status of follow-up activities involving monetary differences.

**1-0790      CORRECTIVE ACTION ASSOCIATED WITH AUDIT FINDINGS      1-0790**

At the conclusion of each audit finding, specific actions are outlined advising the licensee how to correct the particular noncompliance.

The Audit Section facilitates the recovery of all client funds as identified in the audit findings. Reimbursement made by licensees or surety bond companies is required to be in the form of a cashier's check made payable in the name of the affected client or in the name of a responsible person or authorized representative on behalf of the affected client.

All client restitution checks are sent to the address listed below:

Department of Social Services  
Community Care Licensing Division  
P.O. Box 188092  
Sacramento, CA 95818-8092  
Attention: Audit Manager

If a licensee fails to make the restitution required per the audit findings, the Audit Section will submit a claim against the licensee's surety bond.

The Audit Section maintains records to track the return of all funds recovered on behalf of facility clients. Once all audit findings have been corrected and recovered funds distributed, an internal memo is sent notifying involved Licensing personnel that the audit is closed.

**1-1000 ADMINISTRATIVE ACTIONS****1-1000**

In addition to the following procedures, refer to Section 1-1190, Facility Closures: Notification and Client Relocation.

Administrative action simply refers to the steps necessary to present a case in an Administrative Hearing. Such hearings may lead to the revocation of a license or the denial of an initial license. Hearings can also be used to resolve whether employees or other persons should be excluded from facilities. The Licensing Program Analyst will play an essential role in the process as the Licensing Program Analyst has firsthand knowledge of the facility operation. The Licensing Program Analyst's knowledge and documentation will greatly enhance the pool of information needed for successfully presenting a case. The violations, which usually justify a recommendation for administrative action, are included in the case assessment indicators found in Section 1-0110.

The role of the Legal Division is to provide legal support and consultation to the **Regional Office**/county staff, the Statewide Program Office, the **Program Administrator** and the Deputy Director. The Legal Division represents the Department in administrative actions.

The **Regional Office** and county staff should be routinely involved with the assigned consulting attorney in discussion of cases, which may warrant some type of administrative action.

**Planning for Impact on Clients:**

Administrative action taken against operating facilities, whether licensed or unlicensed, may result in the need to relocate clients. While the Department is not a placement agency and has no power to relocate clients, the Licensing Agency is responsible for coordinating planning of the relocation process. When clients are relocated, advance notice must be provided to clients, placement agencies and authorized representatives/responsible persons. The amount of advance notice given must often be balanced with the need to maintain confidentiality of an impending facility closure. **Regional Managers** shall ensure that a Facility Closure Plan is developed and implemented pursuant to Section 1-1190. The Facility Closure Plan provides instructions for notification to clients, placement agencies and responsible persons, as well as procedures for client relocation.

**1-1000 ADMINISTRATIVE ACTIONS (Continued)****1-1000****Administrative Actions which may lead to Client Relocation:**

There are several types of possible administrative actions. The various options are described in Section 1-1010. Not all administrative actions will result in facility closure, however, when a facility is closed, clients will need to be relocated. The following administrative actions may result in facility closure:

- Temporary suspension orders.
- Telephone temporary suspension order.
- Denial of an application when the facility is in operation.
- Denial of an application for which the facility has been issued a Provisional License and is currently operating.
- Legal actions taken if an unlicensed facility does not pursue the licensing process as directed by the Department.
- Implementing a Decision and Order revoking the license of an operating facility.
- Implementing a Decision and Order Resulting from a Stipulated Agreement.
- Implementing a Decision and Order revoking a Probationary License of an operating facility.

In addition to the administrative actions listed above, immediate client relocation may be required when a licensing analyst or other representative of the Licensing Agency identifies a threat so severe that emergency personnel must be summoned while that licensing representative is at the facility. Examples include abandonment of a facility by the licensee, staff leaving clients without care and supervision, or; hazardous physical plant conditions which are so grossly dangerous that the health and safety of clients is in jeopardy.

**1-1000 ADMINISTRATIVE ACTIONS (Continued)****1-1000**

It should be recognized that the need for client relocation may result directly from actions taken by the Licensing Agency or the Department, or indirectly from information shared by the Licensing Agency with other agencies. For instance, revocation of a license is a direct action taken by the Licensing Agency that may result in client relocation. Referral of an unlicensed situation to the local District Attorney is an indirect action that begins a process that may result in relocation of clients as well. In both situations, the Licensing Office will need to have prepared a Facility Closure Plan, including appropriate notifications to relatives and placement agencies.

**1-1010 ADMINISTRATIVE ACTION OPTIONS****1-1010**

In addition to the following procedures, refer to Evaluator Manual, Enforcement Actions Section 1-1190, Facility Closures: Notification and Client Relocation.

After the **Regional Office** has utilized all available and appropriate enforcement actions, and the licensee is still failing to comply, administrative action is the next step in the process. There are no hard and fast rules as to what action is appropriate in a given case, and it is important to assess each case individually. What follows is a list of the primary options available to you in dealing with a non-compliant facility. Each option should be considered in light of the assessment factors found in Evaluator Manual, Enforcement Actions Section 1-0110.

**Attorney Review.** In cases where the Licensing Program Analyst, **Local Unit Manager** and **Regional** Manager are unsure if the problems with a licensee are serious enough to warrant revocation of the license, or if you are unsure if the evidence you have is sufficient, or if there are other factors which make you unsure of the appropriateness of administrative action, you should prepare a Statement of Facts in the usual manner and submit it to your **Program** Office. On the case transmittal sheet, check the type of action you think is appropriate **and** the “Attorney Review” option.

**Here are some of the most commonly used but incorrect reasons for not referring a case for possible administrative action:**

- “I’m not a 100 percent sure that the complaint is substantiated.”
- “The District Attorney did not file charges,” or “Law enforcement dropped the case,” or “The District Attorney hasn’t decided yet whether or not to file charges.”
- “It’s the alleged victim’s word against the licensee’s.”
- “There are no other victims or witnesses.”
- “Hearsay evidence is all we have besides the testimony of the alleged victim.”

While each of these circumstances should be considered, none of them should be used as a reason not to refer a case for possible administrative action. Administrative actions are often successful even in cases where no criminal charges are filed, where there is only one victim/witness, where the licensee denies the allegations, and where some of the evidence is hearsay.

## 1-1010 ADMINISTRATIVE ACTION OPTIONS (Continued)

1-1010

The Program Administrator may be able to determine what action is warranted under the circumstances. If not, a Licensing Attorney will review the package and will advise the Regional Manager and Program Administrator about what action he or she considers appropriate. If the problems are serious and the evidence sufficient, the Legal Division will prepare a Statement of Issues or an Accusation and perhaps a temporary suspension order. If the problems appear solvable, or if the problems are serious but the evidence is weak, the Legal Division may suggest that the Regional Office schedule a Noncompliance Conference or, in some cases, take no action at all.

In any case where the Regional Manager and Program Administrator strongly disagree with the assessment of the Legal Division on a particular case, the case will be scheduled for decision by the Deputy Director for Community Care Licensing Division. The Licensing Office, through the Program Office and the Legal Division will offer their respective opinions on the case and a final decision will be made by the Deputy Director.

**Denial of Application: No Care Being Provided.** When a person or organization cannot or will not comply with the requirements of statute and regulations before licensure, and the applicant has been advised of the deficiencies but has failed to correct them, the initial application should be denied.

In addition, if the Caregiver Background Check Bureau decides it cannot approve a criminal record exemption or receives notice of a conviction of a non-exemptible crime for an applicant or spouse or dependant adult who will reside in the facility, it will notify the Regional Office of the decision by telephone and letter (cbcb5.0 for exemption denial or cbcb6.0 for non-exemptible conviction). The Regional Office should deny the application. When the Regional Office denies the application, it will include the denial of the criminal record exemption in the application denial notice. All appeals of applicant exemption denials should be addressed to the appropriate Program Office.

If the application denial is based on issues other than or in addition to a conviction of a non-exemptible crime, denied, canceled or rescinded exemption, the Regional Office will prepare the Statement of Facts. If the application denial is solely based on a denied, canceled or rescinded exemption, the Program Office will forward any appeals received to the Caregiver Background Check Bureau. The Caregiver Background Check Bureau will prepare the statement of facts. Please see Evaluator Manual, Background Check Procedures Section 7-1740.

**1-1010 ADMINISTRATIVE ACTION OPTIONS (Continued)****1-1010**

The Statement of Facts must outline the history of that particular case. When an application is denied based in whole or in part on a denied, canceled or rescinded criminal record exemption, the Statement of Facts “Case Summary” and “Special Issues/Pertinent Information/Comment Sections” must state this. The Statement of Facts will be used by the Legal Division to prepare a **Statement of Issues**, the legal pleading used to formally allege the regulation violations and other deficiencies which led to the denial of the application.

When an application is denied and appealed within 15 days, the applicant may not operate the facility pending the hearing on the appeal. The **Program** Office must notify the Caregiver Background Check Bureau when an appeal is filed to ensure that the person is kept active in Licensing Information System, pending the appeal.

**Denial of Application: Care Currently Provided.** In cases where a facility is operating without a license and continues to operate after the application for a license has been denied, the Statement of Facts to request the Legal Division to file a Statement of Issues should be combined with a request for an injunction. Since issuance of an injunction or other legal process to stop operations may result in facility closure and need to relocate clients, **in which case** a Facility Closure Plan must be developed. Refer to **Evaluator Manual, Enforcement Actions** Section 1-1190 for procedures.

**License Revocation.** When a licensee commits serious regulation violations, or engages in criminal conduct, or repeatedly violates licensing regulations despite multiple citations, Plans of Corrections, Civil Penalties, Informal Meetings, and a Noncompliance Conference, the local Licensing Office may choose to recommend that the license of that provider be revoked.

In addition, if the Caregiver Background Check Bureau decides it cannot approve a criminal record exemption **or receives notice of a conviction of a non-exemptible crime** for a licensee or **spouse or dependant adult who will reside in the facility** it will notify the **Regional** Office of the decision by **telephone and letter**.

When revocation of the license is recommended a Statement of Facts describing and documenting the problems must be prepared.

If the license revocation is based on issues other than or in addition to a denied, canceled or rescinded exemption **or conviction of a non-exemptible crime**, the **Regional** Office will prepare the Statement of Facts. If the license revocation is solely based on a denied, canceled or rescinded exemption **or conviction of a non-exemptible crime**, the Caregiver Background Check Bureau will prepare the statement of facts. **Please see Evaluator Manual, Enforcement Actions Section 7-1820.**

## 1-1010 ADMINISTRATIVE ACTION OPTIONS (Continued)

1-1010

When a decision to revoke a license is based in whole or in part on a denied criminal record exemption or conviction of a non-exemptible crime, the Statement of Facts summary "Special Issues/Pertinent Information Section" must state this. The Statement of Facts is submitted to the Program Administrator or the Caregiver Background Check Bureau Chief for review and decision as to whether to refer the Statement of Facts to the Legal Division for preparation of an **Accusation**, the pleading used to formally allege the grounds for revocation. In the absence of a temporary suspension order, the licensee may continue to operate a facility after an Accusation has been served. The facility may continue to operate until a Final Decision and Order revoking the license has been adopted by California Department of Social Services.

If the facility continues to operate, a Facility Closure Plan must be developed at the time the office is notified by the Legal Division that a proposed Decision and Order that would uphold the revocation request, has been received from the Office of Administrative Hearings. The Legal Division will also notify the Regional Office at the time the Decision and Order has been approved. The Decision and Order will be effective no earlier than ten days from the date of adoption.

**Expedited Accusation.** When the Regional Manager/Program Administrator have determined that a case is urgent, but does not meet temporary suspension order criteria, an expedited Accusation may be appropriate.

An expedited Accusation means that the Accusation will be drafted by the assigned attorney as quickly as possible (a priority after temporary suspension orders and employee exclusions). The hearing, however will be scheduled with the Office of Administrative Hearings within the normal time frames. An expedited Accusation will not result in a more timely hearing since the respondent may choose to waive normal hearing time frames.

**Temporary Suspension Order.** When a licensee, or other person in a facility has engaged in physical or sexual abuse of clients, or has seriously neglected clients in care, or has been convicted of a non-exemptible crime, or has so poorly supervised the clients in care that there is a substantial risk to their health, welfare, or safety, the local Licensing Office should submit the case to the Program Administrator and recommend that the Deputy Director of the Community Care Licensing Division issue a temporary suspension order. As the impact of a Temporary Suspension Order is abrupt, the decision to serve a Temporary Suspension Order is made only after careful review by the Community Care Licensing Division Program Manager and Deputy Director, and by the Legal Division. The Deputy Director signs this document after briefing the Director. All Temporary Suspension Orders are also approved by the Attorney General. When the recommendation for a temporary suspension order is based in whole or in part on a conviction for a non-exemptible crime or a denied criminal record exemption, the submission to the Program Administrator and the Legal Division must include this fact.

The temporary suspension order is an extreme measure because it will result in the immediate closure of a facility and the need for clients to relocate, and will have an immediate adverse effect on the livelihood of the licensee.



**1-1010 ADMINISTRATIVE ACTION OPTIONS (Continued)****1-1010**

However, when you have documentation and evidence that the clients in a facility are at risk, it is better to recommend a temporary suspension order, even if you are not sure if the evidence is sufficient to support an immediate closure. The **Program** Office and the Legal Division will review the Statement of Facts immediately and an Accusation and temporary suspension order will be prepared if the evidence is sufficient. If it appears that a temporary suspension order may be necessary for a community care facility, the **Regional** Manager in consultation with the **Program Administrator** will contact an Assistant Chief Counsel or **Local Unit Manager** to get an attorney assigned **in order to begin the process of collecting specific evidence for an interim hearing.** (See **Evaluator Manual, Enforcement Actions** Section 1-1215.)

The “telephone temporary suspension order” method of referring a case to the Legal Division is available for expedited legal services or investigative consultation in cases involving major and immediate risks to clients in care. See **Evaluator Manual, Enforcement Actions** Section 1-1210.

For any temporary suspension order that will result in the need for clients to relocate, a Facility Closure Plan must be developed. In addition, advance notice must be provided to the **Program Administrator** as soon as it is expected that this is the likely action to be requested.

There are special interim hearing procedures required by the Community Care Facility Act regarding temporary suspension orders served on a community care facility (not child care center or residential care facilities for the elderly). See **Evaluator Manual, Enforcement Actions** Section 1-1215.

**Injunctions and Other Actions against Unlicensed Facilities.** An injunction is an order issued by a Superior Court prohibiting a person or organization from operating a facility without a license. If the **Regional** Office receives a complaint from the community about an unlicensed facility the Licensing Program Analyst must investigate and confirm the unlicensed operation. During this visit the Licensing Program Analyst should attempt to secure names of clients in care and their responsible parties. The Licensing Program Analyst shall give or mail to the operator the Notice of Operation in Violation of Law. Within one working day, the Licensing Program Analyst will send copies of the Notice of Operation in Violation of Law to any contact persons identified and to local Adult Protective Services and/or the Long Term Care Ombudsman (if an adult facility) or to the local Resource and Referral Agency (if a child care facility), along with the contact letter developed for this purpose. If the unlicensed operator does not then apply for a license, or if the application is denied and the unlicensed operations continue, contact the Legal Division.

It may be necessary to request an injunction not only when an unlicensed facility continues to operate after a license application has been denied, but also when a licensed facility continues to operate in defiance of a temporary suspension order. If a facility continues to operate after a temporary suspension order has been issued, contact the Licensing Attorney handling the case immediately.

**1-1010 ADMINISTRATIVE ACTION OPTIONS (Continued)****1-1010**

**Regional** Office staff should follow referral procedures to **Program** Investigation Section pertaining to unlicensed operations. Refer to **Evaluator Manual, Enforcement Actions** Section 1-0640 and Section 1-1190. Also see **Temporary Restraining Order**. A local Licensing Office should seek assistance in obtaining an injunction from the local District Attorney, county counsel or city counsel. If this request is rejected, an injunction request should be referred to the Legal Division. These cases will be handled by the Attorney General's office. Contact the Legal Division regarding questions about injunctions. Regardless of the process used, further actions may result in facility closure and relocation of clients. If so, a Facility Closure Plan must be developed.

**1-1020 EVIDENCE AND DOCUMENTATION****1-1020**

The Licensing Program Analyst gathers the evidence necessary to refer a case for administrative action. The evidence is presented to the Legal Division in the form of licensing documents, medical and police reports, photographs, tapes, etc. The section below contains a brief discussion of the kinds of evidence which, if available, should be gathered and presented with the Statement of Facts, which is discussed in **Evaluator Manual, Enforcement Actions** Sections 1-1100 and 1-1130.

**EYEWITNESS OBSERVATIONS**

The best kind of evidence in a case comes from a reliable, believable eyewitness. An eyewitness testifies to his or her observation. Observations are the facts that the witness actually saw, heard, or otherwise perceived with his or her senses. Witnesses in a case may be victims, facility staff members, parents, relatives, other clients, police officers, doctors, placement agency staff members, and even the licensees themselves. The Licensing Program Analyst is often a key witness in licensing cases. What the Licensing Program Analyst sees and hears in the facility are highly important facts in the case. Examples of what the Licensing Program Analyst observes include the physical plant, its cleanliness and layout; the kind and amount of food service; medications and their storage and handling; the physical condition and number of the people in the facility; and the condition and kind of facility records.

Other observations the Licensing Program Analyst may make and document are, for example, conversations with clients, sounds of clients crying, screaming or laughing that may lead to the discovery of other clients or problems in the facility.

The Licensing Program Analyst often talks with the facility staff, the licensee, parents or relatives, clients, and others who are involved with the facility. The things these people say about what they saw or experienced or what they heard someone else say (hearsay) may be crucial evidence in the legal action. They should be written down accurately, verbatim if possible. When words are written down verbatim, quote marks should be used around the exact words that were said. It is particularly important to write down remarks made by the licensee or by staff members. Refer to the following sections on witness interviews and declarations.

Do not worry about including "hearsay." Hearsay, can be very useful in licensing cases. There are three important things to remember about hearsay: Write it down accurately, identify who reportedly said it, and identify who reported it.

**1-1020 EVIDENCE AND DOCUMENTATION (Continued)****1-1020****DOCUMENTING WITNESS INTERVIEWS**

When the Licensing Program Analyst interviews a witness, the information is recorded on a separate LIC 812 form for each witness interviewed. A declaration from a witness is not a substitute for the Licensing Program Analyst's notes of an interview on the LIC 812 form. Include at least the following information about the witness in the report:

Name, address, and current home and work telephone and message numbers.

- Relationship to the facility, e.g., staff member, neighbor, parent, or client.
- Willingness to testify at a hearing and information regarding any travel or relocation plans.
- Notes about mental capacity, age, or other conditions that might affect the witness's ability to testify. Ultimately, the Administrative Law Judge decides if a witness is qualified to testify. The Licensing Program Analyst's notes, however, will help the attorney to know what to expect from the witness.
- What the witness saw, heard, or otherwise perceived. Include examples and as many details as possible.

**Additional Suggestions for Witness Interviews are:**

- Let the witness do the talking and write down accurately what is said. Do **NOT** put words in the witness's mouth.
- If the witness tells you what someone else said (hearsay), identify the speaker and ask the witness to try to recall the exact words that he or she heard.

Do **NOT** write on any report that there is "insufficient evidence." This is a legal conclusion that may not be correct and that may be harmful to the case.

**Declarations.** Declarations (LIC 855) can be valuable tools in proving a case. The declarant should be encouraged to write down as many details as possible and to write them as soon after the event as possible, when their memory is fresh. For that reason, the Licensing Program Analyst should carry declaration forms to the site visits and to any witness interview. The declaration should be obtained at the time the witness is interviewed. If no forms are available, use blank paper rather than lose an opportunity to obtain the declaration.

**1-1020 EVIDENCE AND DOCUMENTATION (Continued)****1-1020**

The declarant (the person writing the declaration) should be asked to write down exactly **what** was seen or heard, **who** was present, **when** the events happened (or time frames if the exact dates are unknown), **where and how** the events occurred. He or she should use quotes to identify any statements that were made, and should indicate who made the statements, and to whom. The declarant's relationship (client, neighbor) to the facility should be included. The declarant should sign and date the declaration.

If a declaration form is not available and a blank sheet of paper is used, have the declarant write "I certify (or declare) under penalty of perjury under the laws of the State of California that the foregoing is true and correct." before the date and signature.

For community care facilities, if a temporary suspension order is recommended, the Licensing Program Analyst must be prepared to obtain declarations from percipient witnesses (witnesses who have first hand knowledge of the important facts, not everyone who is interviewed) concerning the facts that support the Department's request for the Technical Support Program. However, obtaining the declarations must not delay the Licensing Program Analyst's initial recommendation for a temporary suspension order if the Licensing Program Analyst believes that sufficient facts warrant the Department's issuance of a temporary suspension order. The issue whether declarations are needed can be discussed with the attorney assigned to the case. (See Section 1-1215.)

Do not delay sending a case to the Legal Division because the Licensing Program Analyst is having trouble getting someone to complete a declaration. A declaration is not a substitute for a complete detail supportive information report concerning the witness interview.

**DOCUMENTATION-IN GENERAL**

Documentation is the record of the observed facts. The more the Licensing Program Analyst records and the sooner after observation that the Licensing Program Analyst writes down what he or she saw or heard, the better. Good legible notes are essential aids to memory and are useful in at least three ways in a legal action: (1) In the preparation of a full and accurate field report (LIC 809, LIC 9099 and LIC 812); (2) In assisting the attorney to prepare the case for hearing; and (3) In preparing the Licensing Program Analyst's own testimony for the hearing.

The Licensing Program Analyst prepares and gathers the documentation of the evidence and sends it with the Statement of Facts for eventual presentation to the Legal Division. All copies should be clear and readable. The documentation sent to the Legal Division may have to be presented as proof at the hearing. The attorney and the Administrative Law Judge have to be able to read the documents sent.

**1-1020 EVIDENCE AND DOCUMENTATION (Continued)****1-1020**

All documents in the case file must be included in the Statement of Facts package unless the document is more than three years old. If there are alleged matters occurring more than three years previous in the Statement of Facts, then copy and include all documents in the file back to the date of the earliest allegation. In the case of a Statement of Facts for an exclusion action, however, include only those documents which bear upon the pertinent acts or omissions of the employee in question.

**SPECIFIC TYPES OF DOCUMENTS**

The documents listed below can be used as actual proof that an event occurred and are often presented to the Administrative Law Judge at the hearing. In most cases the Licensing Program Analyst will not obtain original police and/or medical reports, as the originals are maintained in the police department, hospital or doctor's files. In such cases the Licensing Program Analyst should include the best (most readable) copy of such reports. The **Statewide Program Office** will forward the Statement of Facts package to the Legal Division.

**NOTE:** For community care facilities, if a temporary suspension order is recommended, declarations may be required in addition to pertinent documents mentioned in this section. (See Section 1-1215.)

**NOTE:** **Do not delay the referral of a case to the **Statewide Program Office** while records are being obtained.** Simply note on the case transmittal document that the records have been requested. For temporary suspension orders of community care facilities, do not delay requesting a temporary suspension order because you are attempting to obtain declarations if you otherwise have sufficient facts that warrant the Department's issuance of a temporary suspension order.

**Hospital and medical records.** The medical records should be obtained whenever an incident in a facility has involved medical treatment or consultation. Physicians' offices and hospitals require a release of information from the patient or responsible person or a subpoena duces tecum before they will release copies of records. A subpoena duces tecum Form LIC 967 is described in Section 1-1600.

A client, parent, or other responsible person will usually cooperate with an Licensing Program Analyst by signing the release. Make sure the release is dated. Obtain the records as soon after the release is signed as possible. Some hospitals will not honor releases more than three months after they are signed. Include the release in the Statement of Facts, and keep a copy of the release in the licensing file. A subpoena duces tecum will need to be used if a medical release is not obtained.

**1-1020 EVIDENCE AND DOCUMENTATION (Continued)****1-1020**

**Juvenile Court Records.** If it becomes necessary to obtain copies of any juvenile court records, California Department of Social Services legal staff or the Community Care Licensing Division, **Program Investigations**, will handle any request for such information. All requests should be made in accordance with the authority granted in the Welfare and Institutions Code Section 827.

**Certified judgments of conviction and dockets.** Rap sheets are not enough to prove that a person has been convicted of a crime. When it is a pertinent fact in the case that a person has been convicted, a certified copy of the conviction order must be obtained from the Clerk of the court where the person was convicted. The court of conviction is on the rap sheet.

The Licensing Office should also request a certified copy of the complaint and court docket, if available, for the same conviction. The docket is a log of the court events in a particular case. It often contains helpful information such as the names of witnesses at the trial, terms of probation, and probation reports.

Call the Clerk of the court to obtain certified copies of the judgments and dockets. Identify yourself as a Licensing Program Analyst for a Licensing Agency and the Clerk will usually send certified copies without charge. Some courts may require a written request.

When certified court documents are received, send the actual certified documents with the Statement of Facts and keep copies in the file. If a conviction occurred many years ago, the county clerk may have destroyed the record of conviction. In such cases where obtaining this record is necessary for the case, contact the Regional Investigation Section staff. County staff should contact their local District Attorney. They may be able to obtain the complaint, docket, and judgment of conviction from the Department of Justice, Bureau of Criminal Identification Division or from the Department of Corrections, if the person in question spent any time in prison. Do not contact the Department of Justice or Corrections directly. In addition, the person in question can be confronted with the information in his or her rap sheet and be asked to explain the convictions. He or she will often admit the offense(s), and the admission often can be used in lieu of a certified copy of the judgment of conviction.

**Police Reports, Child Abuse Reports, Regional Center, Mental Health, and other Agency Reports.** Copies of these reports can usually be obtained when the Licensing Program Analyst identifies himself or herself as an investigating officer from licensing. For Child Abuse Reports, Penal Code Section 11167 (c) allows the Licensing Agency to obtain abuse reports during the course of an investigation. Contact the Legal Division if you need assistance.

**1-1020 EVIDENCE AND DOCUMENTATION (Continued)****1-1020**

**Facility records.** The Licensing Program Analyst is authorized by regulations to inspect facility records. Refer to California Code of Regulations, Sections 102395, 101195, 80044, 87344, and 87044. The authority should be used to read and copy the financial, employee, medical, or other records kept by the facility. These records can be used to illustrate or prove a violation.

**Photographs.** It is true that pictures are worth a thousand words. They are convincing, undeniable records of burns, bruises, and other injuries. They also prove that unsanitary conditions and filth can and do exist in facilities. Make sure to identify the subject of each photo, who took the photo, when it was taken, and who was present when it was taken. To preserve the integrity of the evidence in a hearing, do not write on the front of photographs, or any other exhibits. Use either the Facility Photography Report (LIC 813), a separate piece of paper or a sticker on the back of the picture for identification purposes.

The Licensing Program Analyst may take pictures of conditions at a facility over the licensee's objection. However, the Licensing Program Analyst should never take any action that would jeopardize his/her own health and safety. It is a Licensing Program Analyst's duty to observe, assess and document conditions in a facility. Photographs are merely one method of recording those observations.

In a physical abuse case the Licensing Program Analyst may, after requesting the victim's permission, take pictures of bruises appearing on the victim's face, neck, lower legs, arms or other visible parts of the body. Do not remove bandages or dressings. Under no circumstances should the Licensing Program Analyst undress a victim or ask the victim to remove any article of clothing without the victim's permission. In the case of a child, seek this permission from the parents. If the victim or parents object, do not take any photographs.

**Tapes.** When the Licensing Program Analyst learns that a police detective, therapist, or another person has made a video or audio tape, try to obtain a copy. If the tape cannot be obtained, a note should be made in the file as to who has the tape.

**Unless prior approval has been obtained from the Deputy Director through the Program Administrator or County Licensing Supervisor, do not use video tape equipment to record interviews and or evidence. While use of audiotape equipment is not prohibited, it shall only be used with the approval from the Regional Manager.** This will ensure that any legal technicalities will not be over looked when recording the statements and interviews. For example, Penal Code Section 632 makes it a crime to record a confidential communication without the consent of all parties to the communication, by means of any electronic amplifying or recording device. This is the case whether the conversation is carried on face to face or over the telephone.

For more information regarding conducting interviews and collecting evidence, refer to Complaint Section 3-2630.



**1-1025 EVIDENCE AND DOCUMENTATION:  
SAMPLE DECLARATIONS****1-1025**

**THIS DECLARATION IS TO BE USED WHEN THE DEPARTMENT ISSUES A SUBPOENA DECUS TECUM. HAVE THE CUSTODIAN OF RECORDS SIGN THE DECLARATION WHEN YOU PICK UP THE REQUESTED MATERIAL OR HAVE THE PERSON SEND IT TO YOU ALONG WITH THE INFORMATION. FILL IN THE INFORMATION THAT DESCRIBES THE MATERIALS REQUESTED AND FROM WHOM.**

I, \_\_\_\_\_, declare:

1. I am the duly authorized custodian of the records of the [name of business, office or agency], and have authority to certify records.

2. On [date] I was served with a subpoena duces tecum issued by the California Department of Social Services, calling for [type of reports, documents or evidence requested, such police or medical reports, audio tape], writings and other materials pertaining to [name of person, suspect, facility.]

3. The accompanying copies are true copies of all records described in the subpoena that are in my possession as custodian of the records of the [name of business, office or agency]. These records were prepared by the personnel of [name of business, office or agency] and other persons acting under the control of said personnel, in the ordinary course of business, at or near the times of the acts, conditions, or events recorded in the records.

4. I have personal knowledge of the facts as stated above and if called as a witness I could competently testify thereto.

I declare under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Date: \_\_\_\_\_

\_\_\_\_\_  
Custodian of Records

**\* THIS LETTER IS AVAILABLE IN THE COMMON LIBRARY**



**1-1025 EVIDENCE AND DOCUMENTATION:  
SAMPLE DECLARATIONS (Continued)****1-1025**

**THIS DECLARATION IS TO BE USED WHEN THE DEPARTMENT DOES NOT ISSUE A SUBPOENA DECUS TECUM AND THE CUSTODIAN OF RECORDS GIVES THE DEPARTMENT THE REQUESTED MATERIAL UPON THE DEPARTMENT'S REQUEST. HAVE THE CUSTODIAN OF RECORDS SIGN THE DOCUMENT WHEN YOU PICK UP THE DOCUMENTS OR HAVE THE PERSON SEND IT TO YOU ALONG WITH THE INFORMATION. FILL IN THE INFORMATION THAT DESCRIBES THE MATERIALS REQUESTED AND FROM WHOM.**

I, \_\_\_\_\_, declare:

1. I am the duly authorized custodian of the records of the [name of office or agency], and have authority to certify records.

2. On [date], [name] of the California Department of Social Services, requested [type of report or information sought, police medical], writings and other materials pertaining to [name of person, suspect, facility.]

3. The accompanying copies are true copies of all records described and requested in paragraph 2 above that are in my possession as custodian of the records of the [name of office or agency]. These records were prepared by the personnel of [name of office or agency] and other persons acting under the control of said personnel, in the ordinary course of business, at or near the times of the acts, conditions, or events recorded in the records.

4. I have personal knowledge of the facts as stated below and if called as a witness I could competently testify there to.

I declare under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Date: \_\_\_\_\_

\_\_\_\_\_  
Custodian of Records

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**1-1025 EVIDENCE AND DOCUMENTATION:  
SAMPLE DECLARATIONS (Continued)****1-1025**

**USE THIS DECLARATION FOR A MEDICAL PROFESSIONAL WHO OBSERVED OR DIAGNOSED THE INJURY. THE DECLARATION HAS THE MEDICAL PROFESSIONAL SWEAR THAT THE ATTACHED REPORT IS A TRUE AND CORRECT STATEMENT OF WHAT OCCURRED.**

**DECLARATION OF [NAME]**

1. I have personal knowledge of the facts as stated below and if called as a witness I could competently testify thereto.

2. I am a [doctor, nurse, psychiatrist] and currently work at [name of hospital, medical practice and location].

3. [If you can get a copy of the person's *curriculum vitae*, (i.e. copy of their license or other appropriate documentation of the person's qualifications as a medical professional.) "Attached is a copy of my curriculum vitae."]

4. On [date] I examined [patient's name] for [from the report state the reason why the doctor was examining the patient, such as the patient complained of pain in her left arm or patient was referred to me for therapy for possible sexual abuse.]

5. During my examination of [patient's name], I found that [list the medical conditions found, such as a spiral fracture and other injuries, or for therapists, include statements made by the patient that are relevant, such as the patient told me that John Smith molested her.]

6. Attached to my declaration is a true and accurate copy of my [name of the report] concerning my examination of [patient's name.] If called to testify, I would testify as to my observations, statements and medical opinions as stated in my report.

I declare under penalty of perjury under the laws of California that the foregoing is true and correct.

Executed on this \_\_\_\_ day of \_\_\_\_\_, 200\_\_ at \_\_\_\_\_, California.

\_\_\_\_\_  
Name, Include Professional Title, i.e., Dr.  
MFCC

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**1-1025 EVIDENCE AND DOCUMENTATION:  
SAMPLE DECLARATIONS (Continued)****1-1025**

**THIS DECLARATION IS TO BE USED FOR INTERVIEWS OF THE VICTIM IN LIEU OF THE VICTIM EXECUTING HIS OR HER OWN DECLARATION. FOR YOUNG CHILDREN AND ADULTS WITH MENTAL IMPAIRMENTS, MAKE SURE YOUR DECLARATION CONTAINS INFORMATION THAT SHOWS THAT THE WITNESS KNOWS THAT THE WITNESS MUST TELL THE TRUTH AND THE WITNESS KNOWS WHAT THE TRUTH AND A LIE ARE, AND THE CONSEQUENCES OF NOT TELLING THE TRUTH. MAKE SURE THAT YOUR DECLARATION CONTAINS STATEMENTS AS TO THE REASONS WHY YOU BELIEVE THE VICTIM'S STATEMENT TO BE TRUSTWORTHY, AND MEASURES TAKEN TO ENSURE THE RELIABILITY OF THE VICTIM'S STATEMENT, SUCH AS ANOTHER PERSON SITTING IN ON THE INTERVIEW AND ASKING PROPER QUESTIONS.**

**DECLARATION OF [Name]**

1. I have personal knowledge of the facts as stated below and if called as a witness I could competently testify thereto.

2. I am employed as a [Licensing Program Analyst/Local Unit Manager, Investigator] by the ("California Department of Social Services"), [Work Address]. My duties include [list duties, such as the inspection of group and foster homes to determine the facilities are in compliance with applicable licensing laws and regulations.]

3. I have been employed by the California Department of Social Services for [list how long employed in the Department as job title, such as five years as a Licensing Program Analyst, 1990-1995, and from 1995 to the present as an investigator.] During my employment with the California Department of Social Services, I have inspected numerous facilities for compliance with licensing laws and regulations. [List all training you have had with witness interviews and number or frequency of interviews with children, developmentally or mentally disabled.]

4. [Detail here what prompted you to interview the victim, such as the California Department of Social Services received a complaint against the Smith Group Home that a staff member physically abused a client, or I received an investigation assignment request to interview the victim, John Smith.]

5. On [Date], I interviewed [name of victim] at [location]. Also present during my interview was [name]. The interview began at [time] and ended at [time]. During this interview, we discussed [list in generic terms what you discussed, such as the care provided at the foster home or how employee John Smith disciplined the victim.]

**1-1025 EVIDENCE AND DOCUMENTATION:  
SAMPLE DECLARATIONS (Continued)****1-1025**

6. [For this part of the declaration, you will state what the victim told you. You should first state the question you asked and the victim's response. Make sure that the victim's statement contains personal observations, such as I saw John Smith do the following or that John Smith hit me. If the child suffered any injury, physically or emotionally, write what the victim told you, such as after John yelled at me I felt very bad and cried or that I had bruises on my arm after he hit me. Also, when asking questions, avoid leading questions and use open ended questions when at all possible. The type of questions you asked will be important as to the trustworthiness of the victim's statement.]

7. [List factors that give you indications as to the trustworthiness of the victim's statement. This would include statements from the victim that the victim knows to tell the truth, the importance of telling the truth and a promise that the victim will tell the truth. Other factors to list include how detailed the victim's description of events are, use of age appropriate language for young children, specific descriptions as to body parts and functions, prior consistent statements to other persons.]

I declare under penalty of perjury under the laws of California that the foregoing is true and correct.

Executed on this \_\_\_\_ day of \_\_\_\_\_, 200\_\_ at \_\_\_\_\_,  
California.

\_\_\_\_\_  
Name

\* **THIS LETTER IS AVAILABLE IN THE COMMON LIBRARY**

**1-1025 EVIDENCE AND DOCUMENTATION:  
SAMPLE DECLARATIONS (Continued)****1-1025**

**THIS DECLARATION IS TO BE USED FOR TAPED INTERVIEWS OF THE VICTIM CONDUCTED BY ANOTHER PERSON, SUCH AS IN A MULTI-DISCIPLINARY INTERVIEW CENTER, THAT YOU OBSERVED IN LIEU OF THE VICTIM EXECUTING HIS OR HER OWN DECLARATION OR YOU WRITING A FULL BLOWN DECLARATION AS TO THE VICTIM'S STATEMENTS. FOR YOUNG CHILDREN AND ADULTS WITH MENTAL IMPAIRMENTS, MAKE SURE THE TAPE CONTAINS INFORMATION THAT SHOWS THAT THE WITNESS KNOWS THAT THE WITNESS MUST TELL THE TRUTH AND THE WITNESS KNOWS WHAT THE TRUTH AND A LIE ARE, AND THE CONSEQUENCES OF NOT TELLING THE TRUTH. MAKE SURE THAT YOUR DECLARATION CONTAINS STATEMENTS AS TO THE REASONS WHY YOU BELIEVE THE VICTIM'S STATEMENT TO BE TRUSTWORTHY, AND MEASURES TAKEN TO ENSURE THE RELIABILITY OF THE VICTIM'S STATEMENT, SUCH AS ANOTHER PERSON SITTING IN ON THE INTERVIEW AND ASKING PROPER QUESTIONS.**

**DECLARATION OF [Name]**

1. I have personal knowledge of the facts as stated below and if called as a witness I could competently testify thereto.

2. I am employed as a [Licensing Program Analyst/Local Unit Manager, Investigator] by the ("California Department of Social Services"), [Work Address]. My duties include [list duties, such as the inspection of group and foster homes to determine the centers are in compliance with applicable licensing laws and regulations.]

3. I have been employed by the California Department of Social Services for [list how long employed in the Department as job title, such as five years as a Licensing Program Analyst, 1990-1995, and from 1995 to the present as an investigator.] During my employment with the California Department of Social Services, I have inspected numerous facilities for compliance with licensing laws and regulations. [List all training you have had with witness interviews and number or frequency of interviews with children, developmentally or mentally disabled.]

4. [Detail here what prompted the interview of the victim, such as the California Department of Social Services received a complaint against Smith Group Home that a staff member physically abused a client, or the investigating a child abuse complaint.]

5. On [Date], [name of person who conducted interview, job title, employer and address] interviewed [name of victim] at [location], which I observed. Also present during the interview was [name]. The interview began at [time] and ended at [time]. During this interview, [interview's name] and [victim's name] discussed [list in generic terms what was discussed, such as the care provided at the foster home or how employee John Smith disciplined the victim.]

**1-1025 EVIDENCE AND DOCUMENTATION:  
SAMPLE DECLARATIONS (Continued)****1-1025**

6. The [date] interview of [name of victim] was [taped/audio] recorded with [name of victim] with [his/her or consent of parent if a child or conservator if conserved adult] consent. Attached to my declaration is a true and correct copy of the tape of the interview [and transcript of the taped interview if transcribed]. During the interview, [name of victim] stated that [give a brief narrative of the event]. This information from [name of victim] is included from the statement made by [name of victim] on the tape.

7. [List factors that give you indications as to the trustworthiness of the victim's statement. This would include statements from the victim that the victim knows to tell the truth, the importance of telling the truth and a promise that the victim will tell the truth. Other factors to list include how detailed the victim's description of events are, use of age appropriate language for young children, specific descriptions as to body parts and functions, prior consistent statements made to other persons and consistent statements of the event made by other persons.]

I declare under penalty of perjury under the laws of California that the foregoing is true and correct.

Executed on this \_\_\_\_ day of \_\_\_\_\_, 200\_\_ at \_\_\_\_\_, California.

\_\_\_\_\_  
Name

\* **THIS LETTER IS AVAILABLE IN THE COMMON LIBRARY**

**1-1025 EVIDENCE AND DOCUMENTATION:  
SAMPLE DECLARATIONS (Continued)****1-1025**

**THIS DECLARATION IS TO BE USED FOR TAPED INTERVIEWS OF THE VICTIM IN LIEU OF THE VICTIM EXECUTING HIS OR HER OWN DECLARATION OR YOU WRITING A FULL BLOWN DECLARATION AS TO THE VICTIM'S STATEMENTS. FOR YOUNG CHILDREN AND ADULTS WITH MENTAL IMPAIRMENTS, MAKE SURE THE TAPE CONTAINS INFORMATION THAT SHOWS THAT THE WITNESS KNOWS THAT THE WITNESS MUST TELL THE TRUTH AND THE WITNESS KNOWS WHAT THE TRUTH AND A LIE ARE, AND THE CONSEQUENCES OF NOT TELLING THE TRUTH. MAKE SURE THAT YOUR DECLARATION CONTAINS STATEMENTS AS TO THE REASONS WHY YOU BELIEVE THE VICTIM'S STATEMENT TO BE TRUSTWORTHY, AND MEASURES TAKEN TO ENSURE THE RELIABILITY OF THE VICTIM'S STATEMENT, SUCH AS ANOTHER PERSON SITTING IN ON THE INTERVIEW AND ASKING PROPER QUESTIONS.**

**DECLARATION OF [Name]**

1. I have personal knowledge of the facts as stated below and if called as a witness I could competently testify thereto.

2. I am employed as a [Licensing Program Analyst/Local Unit Manager, Investigator] by the ("California Department of Social Services"), [Work Address]. My duties include [list duties, such as the inspection of group and foster homes to determine the centers are in compliance with applicable licensing laws and regulations.]

3. I have been employed by the California Department of Social Services for [list how long employed in the Department as job title, such as five years as a Licensing Program Analyst, 1990-1995, and from 1995 to the present as an investigator.] During my employment with the California Department of Social Services, I have inspected numerous facility for compliance with licensing laws and regulations. [List all training you have had with witness interviews and number or frequency of interviews with children, developmentally or mentally disabled.]

4. [Detail here what prompted you to interview the victim, such as the California Department of Social Services received a complaint against Smith Group Home that a staff member physically abused a client, or I received an investigation assignment request to interview the victim, John Smith.]

5. On [Date], I interviewed [name of victim] at [location]. Also present during my interview was [name]. The interview began at [time] and ended at [time]. During this interview, we discussed [list in generic terms what you discussed, such as the care provided at the foster home or how employee John Smith disciplined the victim.]

**1-1025 EVIDENCE AND DOCUMENTATION:  
SAMPLE DECLARATIONS (Continued)****1-1025**

6. During the [date] interview of [name of victim], I [taped/audio] recorded my conversation with [name of victim] with [his/her] consent. Attached to my declaration is a true and correct copy of the tape of my interview [and transcript of the taped interview if transcribed]. During my interview, [name of victim] informed me that [give a brief narrative of the event]. This information from [name of victim] is included from the statement made by [name of victim] on the tape.

7. [List factors that give you indications as to the trustworthiness of the victim's statement. This would include statements from the victim that the victim knows to tell the truth, the importance of telling the truth and a promise that the victim will tell the truth. Other factors to list include how detailed the victim's description of events are, use of age appropriate language for young children, specific descriptions as to body parts and functions, prior consistent statements made to other persons and consistent statements of the event made by other persons.]

I declare under penalty of perjury under the laws of California that the foregoing is true and correct.

Executed on this \_\_\_\_ day of \_\_\_\_\_, 200\_\_, at \_\_\_\_\_, California.

\_\_\_\_\_  
Name

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**1-1100 THE STATEMENT OF FACTS****1-1100**

Whenever a decision is made to seek administrative action against an applicant or licensee, a Statement of Facts, which outlines the basis for the denial of an initial application or revocation of an existing license must be prepared.

If the application denial/ license revocation was based on issues other than or in addition to a conviction of a non-exemptible crime, denied, canceled or rescinded exemption, the Regional Office will prepare the statement of facts. If the application denial/license revocation is solely based on a conviction of a non-exemptible crime, denied, canceled or rescinded exemption, the Program Office will forward any appeals received to the Caregiver Background Check Bureau. The Caregiver Background Check Bureau will prepare the statement of facts in these instances.

“Statement of Facts” is a package containing a summary of the problems with a given facility, a list of people who could testify about those problems, and the documents and other materials which the Licensing Attorney may need to evaluate a case and use as evidence in a license revocation or denial hearing. A Statement of Facts is required in every case in which a temporary suspension order, or license revocation is requested, or a denied license application is appealed.

After approval by Local Unit Manager and/or management, the Statement of Facts is referred to the Legal Division through either the Program Office or the Caregiver Background Check Bureau and is used to prepare Statements of Issues for denial or revocation actions. The Statement of Issues or Accusation is then served on the applicant/licensee indicating the violations with which he/she is being charged.

The Statement of Facts acts as a request to the Deputy Director for legal or administrative action, against a licensee or license applicant. The local Licensing Office continues to be responsible for licensing services to the facility, even while administrative action is under consideration. For example, after a case has been referred for possible administrative action, the local Licensing Office should continue making all required facility visits. All licensing reports resulting from these visits must, however, be forwarded to the Legal Division as “follow-up documents.” Sending a case to the Legal Division does not end the Licensing Program Analyst’s responsibility to the facility.

**1-1130 PREPARATION OF THE STATEMENT OF FACTS PACKAGE****1-1130**

The Statement of Facts format has been designed to make the Licensing Program Analyst’s job, in preparing a case for legal action, easier and more efficient. Detailed instructions for completing each section of the form are contained in this section.

**Statement of Facts Summary Sheet**

This section of the Statement of Facts calls for the basic licensee and facility information the Legal Division will need from the Licensing Office to prepare an Accusation or Statement of Issues.

**1-1130 PREPARATION OF THE STATEMENT OF FACTS PACKAGE****1-1130**

(Continued)

A Statement of Facts Summary Sheet must be completed and submitted for each of the licensee's facilities, even if the Licensing Office is not requesting legal action on each license and even if the other facility or facilities are in other **Regional Office** areas. **Regional Office** staff should check the Licensing Information System and the most recent LIC 200 in the case file for other facilities held by the same licensee when preparing a Statement of Facts.

The submission of a Statement of Facts Summary Sheet for every facility currently operated by a licensee does not mean all of the facilities will be included in the Accusation. The ultimate decision to include all facilities is made by the Deputy Director. On a case-by-case basis, Legal staff will provide detailed rationale and justification for inclusion of all facilities in an Accusation, in order for the Deputy Director to make the decision. The following guidelines will be utilized by Legal staff when preparing Accusations:

- If abuse, neglect or criminal conduct on the part of the licensee is involved, all facilities should be included in the Accusation.
- If the revocation is based on the character or poor judgement of a common licensee or administrator, all facilities should be included in the Accusation.
- If the revocation is based on the action or judgement of a single staff person at one facility location only or on other reasons which are peculiar to one facility location (i.e., physical plant, supervision), then further justification is required in order to include all facilities in the Accusation.

Sections A and C of the Statement of Facts Summary Sheet will be completed by the **Statewide Program Office** and by the investigating unit, if applicable. The local Licensing Office should complete Section B only. Follow the instructions attached to the Statement of Facts Summary Sheet in completing Section B.

It is particularly important that information such as current capacity, facility type, and operating status be complete and accurate, especially when a temporary suspension order is being considered. If, for example, there are no clients in a facility, that information may significantly affect the decision to issue a temporary suspension order and the speed with which the Legal Division should act. However, the absence of clients in care will not necessarily prevent the issuance of a temporary suspension order. For example, a county may remove its placements from a foster family home after receiving evidence of sexual abuse in that home, but a real probability of placements from other agencies would support the issuance of a temporary suspension order.

**1-1130 PREPARATION OF THE STATEMENT OF FACTS PACKAGE**  
(Continued)**1-1130**

The closure of a residential care facility for the elderly can often present particular problems due to the lack of a placement agency, and the age and frailty of the clients. In these cases, the Statement of Facts must clearly identify the number of clients in care and their ambulatory status, and any other pertinent information about their condition. This information will be critical to the Community Care Licensing Division management for comprehensive relocation planning prior to issuance of a temporary suspension order.

Where a temporary suspension order is requested for a Children's Residential Facility, refer to the evaluator manual Complaint Section 3-2635 for special investigation requirements prior to submitting the case for legal action.

If the licensee is a corporation, list the corporate officers and their addresses, the names and addresses of any board members involved in the management of the facility, the name and address of the corporation's agent for service of process, and the names of any subsidiary or parent corporations that may be involved. An additional page should be attached to this section for this information.

In short, it is very important that the Summary Sheet be completed fully and accurately. Omissions may cause delays in the processing of the case in the Legal Division.

**Case Summary**

In this section of the Statement of Facts, the Licensing Program Analyst should prepare a brief narrative of the reasons administrative action is being sought. The narrative should list the major violations and should comment briefly on the licensee's history, if any, with the Licensing Office. If the administrative action is based in part on a lack of criminal records clearance, note that fact in this section and the Legal Division will contact the Criminal Records Clearance Bureau to obtain the criminal record exemption denial documentation.

It is not necessary in this section to cite specific regulation sections or to give elaborate details of the problem(s) in question. The summary should set forth the strengths and weakness of the case. The summary is intended primarily to enable California Department of Social Services management to assess the seriousness of the problem(s), the risk to clients in care, the appropriateness of the recommended action in light of the problems, and the consistency of the recommended action in this case with other, similar, cases throughout the State.

**1-1130 PREPARATION OF THE STATEMENT OF FACTS PACKAGE****1-1130**

(Continued)

A case can usually be summarized in one or two paragraphs. For example, a physical abuse case involving a family child care homes facility could be summarized as follows:

A site visit was made on February 5, 1991, by Licensing Program Analyst John Jones to investigate a complaint received from Hill Valley Police Department on February 3, 1991. Complaint alleged: Child physical abuse in the form of slapping a 1 ½ year-old child on the thighs. Licensing Program Analyst spoke with complainant on February 5, 1991, obtained a police report, interviewed Child Protective Service workers and obtained a copy of the service intake and referral form identifying date, time, and reason for referral. Licensing Program Analyst also interviewed and received declaration from the victim's mother.

Licensee was interviewed and declaration was obtained substantiating complaint. Licensee was cited for violation of personal rights. Licensee voluntarily surrendered her license during the visit. Licensee was instructed to notify parents of children that her child care services would cease effective February 6, 1991, at 5:00 p.m.

On February 11, 1991, the **Regional Office** sent a letter to the licensee by certified mail, acknowledging that the licensee surrendered her license and advising her that the surrender of her license did not deprive the Department of its authority to institute administrative action against her license.

**Special Issues/Pertinent Information**

This section is the location you should use to add comments or notes about a case that do not neatly fit into any of the other sections of the Statement of Facts. In this section, for example, the Licensing Program Analyst could indicate that Child Protective Services, local law enforcement, or a **Program** Investigator are pursuing some other aspect of the case. Or the Licensing Program Analyst could explain why a given case is particularly sensitive in your location. This section could also be used to indicate why the **Regional Office** or county involved has particularly strong feelings about a given case, or concerns about the consequences of failure to pursue administrative action. If you have information indicating that the licensee or applicant in your case has or has had other licenses, that information should be noted here as well. This is also the place to note if the administrative action is being sought in whole or in part due to an exclusion for a non-exemptible crime or a denial of a criminal record exemption by the Caregiver Background Check Bureau. The Legal Division will contact the Caregiver Background Check Bureau to obtain the criminal record exemption denial documentation.

**1-1130 PREPARATION OF THE STATEMENT OF FACTS PACKAGE**  
(Continued)**1-1130****Informal Meeting(s)/Noncompliance Conference(s)**

In this section, the Licensing Program Analyst can summarize any informal meeting or Noncompliance Conference with the licensee that may have occurred prior to the decision to seek administrative action. This summary should make it clear that the licensee has been given every opportunity to avoid legal action against his or her license.

If the licensee has failed to comply with regulations after the Noncompliance Conference, the LIC 9111 documenting the conference may serve as a very important piece of evidence at the subsequent hearing to revoke the license. The LIC 9111 will show that the Licensing Agency acted reasonably with the licensee, and gave the licensee every opportunity to comply with regulations before resorting to the final measure of revocation proceedings.

If an informal meeting or Noncompliance Conference has been held, the Licensing Program Analyst should summarize, in this section of the Statement of Facts, the major points made at the meeting/conference, and to indicate where in the exhibits the documentation relating to the informal meeting(s)/conference(s) can be found. In a case involving physical plant deficiencies, for example, the Licensing Program Analyst might make the following note in this section:

“A Noncompliance Conference was held with the licensee on November 16, 1993. Several physical plant violations were discussed with the licensee, and the 809s relating to those instances were reviewed. The seriousness of the problem was explained to the licensee, and she stated she would prevent this problem from recurring. See LIC 9111, dated November 16, 1993 and signed by Mary Watkins, licensee.”

**Witnesses**

The witness list is perhaps the most important section of a Statement of Facts. There may be multiple violations in a facility, but without witnesses to testify about the violations, it will be impossible in most cases for the Legal Division to prepare pleadings or to win the case at the hearing. The Licensing Program Analyst should always be listed as a witness.

It is important to provide complete identifying information on all witnesses such as date of birth, driver's license numbers, current work and residence addresses and phone numbers and names of next of kin; if possible. Even if the violations happened long ago, it is still important to make some effort to verify the witnesses' information (i.e., still living in California, still living at the last address listed, etc.). Time spent in the Legal Division tracking down witnesses whose addresses or phone numbers are no longer a good cause for delays in case processing.

**1-1130 PREPARATION OF THE STATEMENT OF FACTS PACKAGE 1-1130**  
(Continued)

If the Licensing Program Analyst has some special information about a witness that would be helpful to the assigned Licensing Attorney, that information should be noted in the Comments Section for that witness. For example, the Licensing Program Analyst might indicate that a witness is hostile and probably unwilling to testify for the State, or that a witness may be too young or too disabled to serve as a witness. It is better to list the witness with these reservations noted than to omit the witness because there are problems. The best person to determine whether the witness can or cannot testify is the Licensing Attorney assigned to the case.

**1-1140 ROUTING THE STATEMENT OF FACTS PACKAGE 1-1140**

After the Statement of Facts has been completed and approved, make two photocopies of the Statement of Facts Form (LIC 9029A) and one photocopy of the exhibits and attachments. A package containing the original LIC 9029A and a photocopy of the exhibits and attachments, along with a second photocopy of the LIC 9029A only should be sent to the **Statewide Program Office**. The third copy of the LIC 9029A along with the original exhibits and attachments should be retained in the Licensing Office, in the Confidential Section of the facility file.

The Licensing Program Analyst is also responsible for completing the top part of the LIC 9011A, Department of Justice Notification. This form is sent to the **Statewide Program Office** with the Statement of Facts.

The **Program Administrator** will then review the Statement of Facts package, approve or modify the action requested, and forward the package containing the original LIC 9029A and photocopies of the exhibits and attachments documents to the Legal Division.

Identifying information and case status are maintained on the Unify database in the Legal Division. This database is accessible through your **Regional Manager** or **Statewide Program Office**.

**1-1150 AFTER THE STATEMENT OF FACTS REACHES LEGAL 1-1150**

In addition to the following procedures, refer to Section 1-1190, Facility Closures: Notification and Client Relocation.

**Legal Assessment of the Case.** The case is assigned to a Licensing Attorney when it arrives in the Legal Division.

In county cases, the Legal Division will return to the county a copy of the legal case transmittal which identifies the attorney and legal assistant assigned to the case, as well as the case number. In **Regional Office** cases, the Legal Division prepares and sends a similar notification to the **Regional Office**.

**1-1150 AFTER THE STATEMENT OF FACTS REACHES LEGAL**  
(Continued)**1-1150**

The attorney's first duty is to read the Statement of Facts and to evaluate the evidence to see if it is sufficient to sustain a temporary suspension order, revocation, or whatever action was requested. The local Licensing Office may be asked to obtain additional documents, to make a field visit, or to supply details that will help the attorney understand the case.

**Confirmation of Witnesses.** Next, the attorney may want to interview the witnesses and confirm what they have said earlier in declarations or interviews. The attorney may also wish to assess the credibility of a witness and his or her ability to qualify as a witness. At this point, the Licensing Program Analyst may be asked to help locate witnesses, to make appointments to interview them, and to accompany the attorney as an observer at the interviews.

**Drafting the Pleadings.** The attorney must next draft the pleadings, that is, the temporary suspension order, the Accusation or Statement of Issues (**See Glossary**), and other documents that may be filed with the Office of Administrative Hearings. These documents state the reasons, or the basis, for legal action. The statements in the pleadings are based on the evidence that the Licensing Program Analyst has supplied.

**Service of Pleadings.** The licensee is served with the temporary suspension order, Accusation, and other documents to begin the legal action. A temporary suspension order is always served personally by the **Regional Manager** or the **Program Administrator** if the facility is operating.

Instructions on how to complete personal service are included in the package of documents the **Regional Office** will receive from the Legal Division. If **Regional Office** staff believes there may be danger involved in serving the pleadings, arrangements should be made for police protection.

If pleadings are not served personally, they are served by mail by the Legal Division. The local Licensing Office is sent a copy. The day the temporary suspension order is served, a copy of the pleadings should be mailed, by the **Regional Office**, to legislators' offices and any local officials identified in the Facility Closure Plan for information regarding any contact they may receive from constituents.

In family child care homes and child care center cases, the local Licensing Office will not only serve the temporary suspension order, but also give or mail copies of the temporary suspension order and Accusation to the parents of children in care as required by Section 1-1190. Health and Safety Code Section 1596.8895 also requires that notice of a child care facility temporary suspension order be posted "at the facility in a place readily visible and accessible to the parents or guardians [of children in care]."

**1-1150 AFTER THE STATEMENT OF FACTS REACHES LEGAL**  
(Continued)**1-1150**

If a temporary suspension order has been served, the licensee may not operate while the hearing is pending. If an Accusation without a temporary suspension order was served, and the licensee files a Notice of Defense, the facility may continue to operate pending a hearing. The Licensing Office **must** continue to monitor a facility after pleadings have been served, to see if the licensee is operating in violation of a temporary suspension order or of other licensing regulations. If the Licensing Program Analyst observes such violations the Licensing Program Analyst **must** promptly call the attorney assigned to the case.

**When serving temporary suspension orders on a community care facility, refer to Section 1-1230 for special requirements on “interim hearings.”**

**Facility Monitoring.** Even when the facility has been referred to the Legal Division for administrative action, the Licensing Program Analyst still retains responsibility and control of the case. The Licensing Program Analyst must continue to perform routine licensing duties, such as annual visits, complaint investigations, and must ensure that the licensee meets licensee responsibilities. The Licensing Program Analyst calls the assigned attorney before making any visit. The Licensing Program Analyst must send facility visit reports and other pertinent documentation to the assigned attorney as soon as possible. If a Licensing Program Analyst receives new information, requests for licensure of a new facility, capacity increase, exception or identifies the need for a non-compliance conference or informal meeting, the Licensing Program Analyst should consult with the assigned attorney and the **Local Unit Manager** prior to taking the action. Often, information from these actions is amended into the Accusation.

**Preparation for Hearing.** If the licensee returns a Notice of Defense to the Legal Division within the time allowed, the attorney will contact Office of Administrative Hearings for hearing dates. A hearing for a temporary suspension order usually begins within 30 days of receipt of the Notice of Defense by the Legal Division. Non-temporary suspension order hearings must be held within 90 days of receipt of the Notice of Defense in the Legal Division, unless a continuance is granted.

If the licensee does not return a Notice of Defense within 15 days after service a default order may be issued. In a default, California Department of Social Services issues an order denying or revoking the license without a hearing.

In preparing for a hearing, the attorney will want to interview and prepare the witnesses, if this step was not taken earlier. Again, the Licensing Program Analyst may be needed to assist with this important process.

Also, witnesses must often be summoned to the hearing with a personally served subpoena. The local Licensing Office may be asked to help serve subpoenas as well, particularly when there are numerous witnesses.



**1-1150 AFTER THE STATEMENT OF FACTS REACHES LEGAL**  
(Continued)**1-1150**

**Conducting the Hearing.** An Administrative Hearing is the applicant's or licensee's "day in court". For denial of an initial application, the burden of proof is technically on the applicant to disprove the allegations contained in the Statement of Issues. In revocation proceedings the burden of proof is on the Department to prove that the allegations contained in the Accusation are true. The Department's case is typically presented utilizing many of the following sources of evidence:

1. Testimony of the Licensing Program Analyst, Investigator, Auditor.
2. Testimony of past and current employees, placement workers, clients.
3. Any documents in the facility file such as:
  - a. Complaint investigations
  - b. Site evaluations
  - c. Audit reports
  - d. Clearances
4. Any other witnesses or documents which help substantiate the allegations in the Statement of Issues.

The Licensing Attorney is permitted to have one agency representative present and assist throughout the hearing. Most often, because of his or her extensive knowledge of the case, the Licensing Program Analyst is chosen by the attorney to be the State's representative.

In this role, the Licensing Program Analyst will sit at the counsel table during the hearing. The Licensing Program Analyst may, depending on the demands of the hearing, provide insights and information as witnesses testify, take notes, and find documents in the file as needed. The Licensing Program Analyst may also be asked to arrange transportation for witnesses and to see that they are at the hearing in time to testify according to schedule. The Licensing Program Analyst's assistance at a hearing is invaluable to the attorney.

**1-1150 AFTER THE STATEMENT OF FACTS REACHES LEGAL  
(Continued)****1-1150**

The Licensing Program Analyst, in most administrative actions, will also serve as a key witness for the State. The results of the Licensing Program Analyst's conscientious observations and documentation are thereby placed before the Administrative Law Judge. The attorney will, in nearly every instance, prepare the Licensing Program Analyst before the hearing and should answer any questions about the procedure. It is a good idea to attend a licensing hearing before being required to participate in one, to get a feel for the procedure and an idea of what it is like to be cross-examined.

**1-1160 SETTLEMENTS, STIPULATIONS, PROBATION****1-1160**

In addition to the following procedures, refer to Section 1-1190, Facility Closures: Notification and Client Relocation.

Not all cases sent to the Legal Division for administrative action end up in hearing. In many cases, for many reasons, the parties to an administrative action may choose to negotiate a resolution (called a **settlement**) of a case rather than to litigate the case in front of an Administrative Law Judge. A settlement is almost always less time-consuming and less costly for all persons involved.

Settlement discussions are always handled by the Licensing Attorney assigned to the case. Once a case has been referred for administrative action the local Licensing Office **may not** negotiate a settlement of the administrative action with the licensee.

Stipulations are entered into on behalf of the California Department of Social Services by the Deputy Director for Community Care Licensing Division. While the attorney has the responsibility to represent the Department in administrative actions, the attorney does not have the authority to enter into Stipulations without prior approval of the Deputy Director for Licensing or his/her designee (generally the **Program Administrator**). The Stipulation is not final until signed by the Deputy Director for Licensing and adopted by the Department.

Once the pleading has been served, ALL settlement discussions with the respondent should only be done by the assigned attorney. All calls to the District, County or **Statewide Program Offices** from the respondent regarding possible settlement or the legal case should be referred to the attorney. All calls from an attorney for the respondent must be referred to the attorney. The District, County or **Statewide Program Office** should alert the assigned attorney to expect the call. The calls that should be referred include all questions regarding hearing procedures and/or whether the respondent should file a notice of defense. Questions from respondents regarding the ongoing monitoring of the facility should continue to be handled by the local Licensing Office.

**1-1160 SETTLEMENTS, STIPULATIONS, PROBATION (Continued)****1-1160**

Either side in an administrative action may initiate settlement discussions. In some instances, the licensee may agree to withdraw his or her Notice of Defense. In that case, the revocation or denial is entered by default. In other cases, the licensee may agree that his or her license can be revoked, but negotiates to avoid admissions to certain allegations. In other cases, the licensee agrees to the revocation of his or her license, and the State agrees to “stay” or postpone the revocation for some period of time. During this period, the licensee is permitted to operate, provided that he or she complies with specific terms and conditions set out in the settlement agreement, which is called a **Stipulation**. The period during which the licensee may operate subject to these conditions is known as the period of **probation**.

Settlements can enable the local Licensing Office, through the Licensing Attorney’s negotiations with the licensee’s attorney, to impose conditions on the continued operation of a facility. The Licensing Office is responsible for monitoring the licensee during the period of probation to ensure that the licensee complies with the terms of probation.

The Licensing Office will make a visit within ninety (90) days of the effective date of the probation. Additional visits may be made if the situation requires more monitoring. The frequency of visits during the remainder of the probation will be determined by the Licensing Office in consultation with the Legal Division based on the performance of the licensee during the first year of the probation. Contact the Legal Division as soon as possible if possible violations of probation are found.

If the licensee fails to comply with the terms of probation the Licensing Office is responsible for referring the noncompliance for legal action. This referral is made in the same manner as an initial referral for license revocation. If the licensee does not comply with the conditions set forth in the Stipulation, it is quite simple to revoke the license. The Licensing Attorney usually needs to prove only the violations of the specified condition(s). The stay of revocation is then set aside, and the revocation takes effect.

The Licensing Attorney will contact the **Local Unit Manager**, **Regional Manager** and **Program Administrator** for input on a given settlement proposal. Any information or opinions regarding the settlement that is being proposed should be conveyed by the management team to the Licensing Attorney. These opinions will figure prominently in the final decision.

Cases involving any of the below listed items must be reviewed by the Assistant Chief Counsel Stipulation Committee. Without substantial justification, the Committee will not approve a settlement.

1. Exclusion of a spouse.
2. Exclusion of a minor or dependent child, grandchild or relative.
3. Exclusion of anyone who has molested or abused a person.
4. Surrenders.

**1-1160 SETTLEMENTS, STIPULATIONS, PROBATION (Continued)****1-1160**

5. Exclusion of a licensee from the operation of the facility or client contact.
6. Exclusion of a corporate officer, board member or other management person from the facility or client contact while they retain their business, professional or personal relationship with the facility.
7. Proposals that include duplicate licensees (e.g. Community Care Licensing Division and Department of Health Services licenses for the same facility).
8. Care beyond the regulations.
9. A proposal where there is not a reasonable chance that the licensee will successfully complete probation.
10. Any proposal that allows a sex molester to continue in operation - even if it means going to hearing and losing.
11. Settlements that permit a facility whose license has been temporary suspension ordered to continue in operation.
12. Revocations where the respondent can reapply in less than two years.
13. A Stipulation that is used as a way to avoid hearing preparation.
14. A Stipulation that refers to services by the Technical Support Program.

**1-1170 DECISION AND OTHER POST-HEARING ISSUES****1-1170**

In addition to the following procedures, refer to Section 1-1190, Facility Closures: Notification and Client Relocation.

After the hearing is over and all documents are submitted, the Administrative Law Judge writes a Proposed Decision and sends it to the Legal Division. In most cases, the proposed decision is received within 30 days of the close of the hearing.

The Legal Division will notify the local **Regional Office** at the time a proposed Decision and Order is received from the Administrative Law Judge. The **Regional Office** will determine whether the facility is still in operation, and if so, attempt to obtain a current facility roster. For facilities with clients in care, the **Regional Office** will follow the planning and coordination procedures for developing a Facility Closure Plan.

**1-1170 DECISION AND OTHER POST-HEARING ISSUES (Continued)****1-1170**

When the Department decides to adopt the Proposed Decision, the Deputy Director of the Legal Division signs a Decision and Order to that effect. The Decision and Order is then served by the Legal Division, usually by mail, on the licensee and his or her attorney. The Decision and Order is effective no earlier than ten days from the date of signature. The Legal Division will notify the **Regional Office** on the day the Decision and Order is signed. For facilities with clients in care, the **Regional Office** will follow Facility Closure Plan procedures for notification and relocation as provided in Section 1-1190. The **Statewide Program Office** and the **Regional Office** that referred the case will also receive a copy.

On the very rare occasion when there is an imperative and sound reason to reject or to change the Proposed Decision, the Legal Division may request a transcript, or record, of the hearing. The Community Care Licensing Division Deputy Director must approve this request for a transcript. When the record is received, it is scrutinized by an attorney who has not been previously involved with the case. That attorney may then write an alternate decision and recommend it to the Community Care Licensing Division Deputy Director and the Legal Division Deputy Director. Alternating a decision takes many months and greatly delays the adoption of a final decision. Fortunately, it is rarely necessary to use this procedure.

A temporary suspension order expires 30 days after the close of a hearing even if a final decision has not been adopted. A licensee may technically resume operation at that point. The Licensing Attorney will be aware that the 30 days is running and will call the Office of Administrative Hearings to request that the Proposed Decision be issued. If there is any delay in adoption of the case, the Licensing Attorney will advise the **Regional Office** on the status of the case.

After the final Decision and Order has been adopted and served, the licensee may not operate if the decision has been made to revoke the license. The licensee may appeal any decision to the Superior Court for review. However, unless the Superior Court grants a stay, the Department's order is in effect pending the outcome of the Superior Court appeal. If there is no appeal, or no stay issued as the result of an appeal, coordinate with placement agencies for the removal of clients and ascertain that the facility has ceased operation.

**1-1180 OPERATION AFTER REVOCATION****1-1180**

In addition to the following procedures, refer to Section 1-1190, Facility Closures: Notification and Client Relocation.

The licensee must stop all operation when a license is revoked. For facilities that are known to be operating, the local Licensing Office must visit the facility at least once within 90 days, after the effective date of the license revocation. There is no need for follow-up by the local licensing office if it is known that the facility is not operating. This can be verified by visits from other agencies or the execution of a temporary suspension order.

If the Licensing Program Analyst discovers that the former licensee is defying the Order, the Legal Division should be notified at once. The **Regional Office** must then send a Notice of Operation in Violation of Law to the former licensee stating that he or she is operating without a license.

A number of remedies can be used to obtain compliance with the licensing revocation. The **Program Investigations** shall be notified of the former licensee's defiance of the Decision and Order. This constitutes a Priority I referral. (See Section 1-0620 for further direction.) A request for an injunction is also a course of action available to the Licensing Office, and requires coordination with the Attorney General's office.

A further effect of a revocation is that the local Licensing Office is not required to act upon any application submitted by the licensee for a period of two years after the revocation. Even then, after two years, the Department may use the matters proved at the hearing as reasons for denying future applications.

A record of licensing revocations is kept by Department of Justice. This information is obtained from the LIC 9011A, Department of Justice Notification which is completed by the Licensing Program Analyst and sent to the Legal Division along with the Statement of Facts. When fingerprints are submitted for a check of a criminal record, Department of Justice notifies the Department if a revocation is on the record. When a prior revocation is noted as a result of a fingerprint check, the former Licensing Agency and the Legal Division should be contacted for further information before a decision is made on the license or employment.

**1-1190 FACILITY CLOSURES, NOTIFICATION AND CLIENT RELOCATION****1-1190**

The Licensing Agency recognizes that relocation of clients, while necessary to assure their health and safety, has an enormous impact on these clients, their families and authorized representatives, local protective agencies and the community as a whole. However, if a care provider is operating in a manner that places clients in imminent danger or subjects them to continual poor care, the Licensing Agency becomes responsible for taking action that may directly or indirectly result in facility closure.

**1-1190 FACILITY CLOSURES, NOTIFICATION AND CLIENT  
RELOCATION (Continued)****1-1190**

Abrupt closures of care facilities have a dramatic impact on clients, family members, care providers, placement and protective agencies and on licensing staff. It is the policy of the Community Care Licensing Division that, in those cases where facility closure is identified as a possible outcome of any licensing action, clients and their relatives and authorized representatives will be provided as much advance notice as possible. In addition, it remains the policy of the Community Care Licensing Division that appropriate placement and protective agencies will be involved in the planning stages that precede any administrative actions taken that could result in facility closure.

**I. PLANNING FOR FACILITY CLOSURE AND CLIENT RELOCATION**

Planning for any administrative actions that will result in facility closures and client relocation, including advance notification of relatives and authorized representatives, is an integral part of the Licensing Agency's responsibility to ensure the health and safety of persons in out of home care. Inadequate planning can create transfer trauma that is every bit as dangerous as the situation being remedied.

**A. Development of Facility Closure Plan:**

With the exception of situations where the first course of action is contacting emergency response personnel such as law enforcement, Adult Protective Services, or medical personnel, it is the Department's policy that no actions which result in the need for client relocation will be carried out unless and until a Facility Closure Plan has been developed. The plan will include advance notification to relatives and authorized representatives.

If licensing staff identify a threat so severe that emergency personnel must be summoned while licensing staff is at the facility, advance notification will not be possible.

- Immediately notify the Program Administrator, Deputy Director and Department Director.
- Notify known relatives or authorized representatives as soon as the situation is stabilized and clients are out of danger.
- If the situation warrants, local elected officials and legislative representatives will be notified when the situation is stable.
- The Regional Manager notifies the Department's Public Information Officer if there has been or there is an expectation of press contact.

**1-1190 FACILITY CLOSURES: NOTIFICATION AND CLIENT  
RELOCATION (Continued)****1-1190**

Regional Offices are responsible for developing a Facility Closure Plan as soon as information is received that indicates that an operating facility with clients in care is subject to closure. The planning process begins as soon as the **Regional Manager** learns that an operating facility with clients in care is subject to closure. The **Regional Manager** will contact placement and other appropriate agencies immediately to jointly plan for a smooth relocation of residents. The plan needs to be completed as soon as possible after it is confirmed that the facility closure will occur.

The plan will identify the agencies and individuals that are responsible for clients in care, timeframes for notification, arrangements for assisting with relocation or finding alternative care arrangements, and efforts to minimize trauma to the clients. Parents, placement agencies and other responsible parties will be included in the development and implementation of the Plan as specified below. Other agencies such as law enforcement, medical consultants and County Health Departments may also be included as appropriate.

**B. Coordination with Placement Agencies:**

Coordination with other agencies and affected parties can minimize transfer trauma in the event of a facility closure and relocation. Prior to closing a facility, the Regional Office will determine which agencies need to be contacted and the resources needed for relocation. This will vary with facility type, payment systems, and whether or not the facility to be closed has clients placed through a placement agency. The need to maintain confidentiality of an impending closure should be balanced with the need for advance notice to agencies that will be seeking other placements for the residents. Each Regional Office shall maintain a current list of possible agencies that will assist in relocation. (See Section 1-1245, Agency Resource List and Section 1-1260, Coordination with Placement Agencies.)

**C. Notification Requirements:**

A primary component of the Facility Relocation Plan is the provision of notification of the impending facility closure and the need to relocate clients to placement agencies, family members, and other affected agencies and individuals. It is the policy of the Community Care Licensing Division that as much advance notice as possible be provided to facilitate the relocation process and to minimize disruption of the lives of clients and their families. The established minimum timeframes for this notification are dependent on the types of action being taken and the facility type. Minimum timeframes and procedures for notification are described below.



**1-1190 FACILITY CLOSURES: NOTIFICATION AND CLIENT  
RELOCATION (Continued)****1-1190****II. ACTIONS THAT MAY REQUIRE CLIENT RELOCATION****1. Emergency Relocations**

If licensing staff identify a threat so severe that emergency personnel must be summoned while licensing staff is at the facility, advance notification will not be possible.

- a. Immediately notify Program Administrator, Deputy Director and Director.
- b. Notify known relatives or authorized representatives as soon as the situation is stabilized and clients are out of danger.
- c. If the situation warrants, local elected officials and legislative representatives will be notified when the situation is stable.
- d. The **Regional Manager** notifies the Department Public Information Office if there has been or there is an expectation of press contact.

**2. Temporary suspension orders****A. Planning for Relocations****Child Care**

- Public Resource and Referral Agencies: The Public Resource and Referral Agency will be included in the development of the Facility Closure Plan. The local Public Resource and Referral Agency **will** be notified at least the day before the temporary suspension order is to be served. Additional notice should be provided for child care centers.
- At the time of service, the letter to parents **will** identify the name and telephone number of the resource and referral staff who will be available to assist in finding alternative child care.

**Adult/Elderly Care**

- All agencies responsible for the placement of clients in care will be included in the development of the Facility Closure Plan. Such agencies may include, but are not limited to Public Guardian/Conservator, Regional Center, and County Mental Health, as appropriate. In addition, the Long-term Care Ombudsman and Adult Protective Services Agency will be included in the development of the Plan.

**1-1190 FACILITY CLOSURES: NOTIFICATION AND CLIENT  
RELOCATION (Continued)****1-1190****Children's Residential Care**

- All agencies responsible for the placement of clients in care will be included in the development of the Facility Closure Plan. Such agencies may include, but are not limited to, County Probation, County Social Services, Regional Center, and County Mental Health.
- When private placements are made by family members, licensing staff will notify them at least 24 hours prior to serving the temporary suspension order.

**B. Notifying Family Members**

Plans for advance notification to family members should be included in the Facility Closure Plan developed by the Regional Office.

**Child Care Facilities**

- Parents and/or responsible party: The temporary suspension order will be effective at the close of business on the day following service. Parents/responsible parties will be notified at the time they pick up children on the day the temporary suspension order is served. They will be provided a copy of the Accusation and a letter describing the process in more detail. The letter will also provide information about child care resource and referral services. Parents not notified in person will be called the evening the temporary suspension order is served and sent a copy of the Accusation and letter. (See sample letter)
- If possible, the temporary suspension order should be served on Thursday to maximize the number of days available to parents to find alternative child care arrangements **except in extenuating circumstances**.

**Residential Facilities**

- The Regional Office will ensure that as much notice as possible is provided to family members based on the specific circumstances of the case. In all cases, family members will be notified at least **three (3) days** before the temporary suspension order is effective.

Options for providing advance notice to family members are listed below. These options are not all inclusive. The decision should be based on such factors as the size of the facility, client type, placement options, etc. The option selected should be discussed in the Facility Closure Plan developed by the Regional Office.

**1-1190 FACILITY CLOSURES: NOTIFICATION AND CLIENT  
RELOCATION (Continued)****1-1190**

**Option A** - 24 hours notice: Notify family at time of temporary suspension order service; temporary suspension order effective 24 hours after service.

**Option B** - 24 hour notice: Notify 24 hours prior to serving temporary suspension order; temporary suspension order effective upon service.

**Option C** - 48 hours notice: Notify family 24 hours before service; temporary suspension order effective 24 hours after service.

- Family members will be contacted by telephone followed by a letter and copy of the Accusation. If family members can come to the facility, they will be given a copy of the letter, and can assist their relative.
- Clients who are competent or who do not have an identified authorized representative will be notified at least 24 hours prior to the effective date of the facility closure. For clients who are not competent and have a responsible representative, notification will be left to the discretion of the representative or placement agency.

**C. Notifying other Agencies**

The following agencies do not need to be involved in the Facility Closure Plan, but must be notified as soon as the temporary suspension order is served.

- Child Care: The California Department of Education/Child Development Division and Child Care Food Program; and local County Welfare Department will be notified as soon as possible within 24 hours of the time of service.
- Adult/Elderly Care: State Department of Health Services - Licensing and Certification, County Medi-Cal, and the Social Security Administration, will be notified as soon as possible within 24 hours of the time of service.
- Children's Residential: The California Department of Social Services Foster Care Branch and the California Department of Education will be notified as soon as possible within 24 hours of the time of service.
- Developmentally Disabled: the California Department of Developmental Services will be notified within 24 hours of the time of service.

**1-1190 FACILITY CLOSURES: NOTIFICATION AND CLIENT  
RELOCATION (Continued)****1-1190****D. General Notification in all Cases**

- The local elected officials and legislative representatives: After the Deputy has signed the Temporary Suspension Order local legislative offices will be notified on the same day that notice is provided to family members and other responsible parties. Notice will be provided by telephone call, followed by a fax of the letter to responsible representatives. A copy of the Accusation will be mailed within the next 24 hours. Consideration should also be given to the need to provide notification to other elected officials including mayors, city council members, and members of Boards of Supervisors. The Regional Office will develop and maintain current lists of local officials and legislative representatives for use in notification during service of a temporary suspension order.
- Public Information Office: The Regional Manager will notify the Department's Public Information Office at the time the temporary suspension order is approved.

**3. Actions Against Unlicensed Facilities**

- Except for family child care homes, a Notice of Operation in Violation of Law must be issued to the facility operator at the time the unlicensed operation is verified. For family child care homes, the care provider is advised in a licensing field report of the need to apply for a license. The facility has 15 days to submit an application or cease operating. If the provider does not cease operating and an application is not received on the 16<sup>th</sup> day, or the application is denied, a second Notice of Operation in Violation of Law should be sent (initial Notice of Operation in Violation of Law for family child care homes) to the facility.
- If imminent danger is identified in an unlicensed facility, the Regional Office will contact the Legal Division to determine if a temporary restraining order or injunction should be sought. The Regional Office will also inform placement agencies and Protective Services Agencies that the facility is unlicensed so that the agencies can determine if clients in care should remain in the unlicensed environment. The decision to seek a temporary restraining order or injunction, or assist a placement or protective agency to remove clients from an unlicensed facility is made by the Regional Manager in consultation with the Program Administrator and Deputy Director, and the Legal Division.

**1-1190 FACILITY CLOSURES: NOTIFICATION AND CLIENT  
RELOCATION (Continued)****1-1190**

- Unlicensed care providers may be unwilling or unable to share information regarding contacts for responsible parties for the clients in care. Licensing staff will request that contact information be provided and contact the Legal Division if the care provider refuses to cooperate.

**A. Notifying Family Members/Placement Agencies**

- Within one day of issuing the Notice of Operation in Violation of Law, copies of the Notice of Operation in Violation of Law and an accompanying letter will be sent to identified responsible parties and clients. For family child care homes, parents will be sent a copy of the field report and an accompanying letter. (See sample letter).
- The Regional Office will develop a Facility Closure Plan and contact all responsible parties and other entities identified in the Plan 48 hours prior to referring to the Attorney General or the District Attorney or any other designated local authority for an injunction and/or criminal prosecution. (See sample letter).

**B. General Notifications**

- California Department of Social Services Public Information Office: The Regional Manager notifies the Public Information Office at the time when decision is made to seek an injunction or temporary restraining order.
- Local elected officials and legislative representatives: Call on the day that family members and other responsible parties are notified. Forward a copy of the Notice of Operation in Violation of Law and letter sent to responsible parties when a decision is made to seek an injunction or temporary restraining order.

**4. Decision and Order Resulting from Revocation**

Decisions and orders will become effective ten days from the date they are signed. The Legal Division will notify licensing offices when a proposed Administrative Law Judge decision that will result in facility closure is received from the Office of Administrative Hearings. This is to allow time for offices to verify that the facility is still operating, to develop a closure plan, and to update contact lists.

**1-1190 FACILITY CLOSURES: NOTIFICATION AND CLIENT  
RELOCATION (Continued)****1-1190****A. Notifying Family Members/Placement Agencies**

The Legal Division will also contact the Regional Office when the Decision and Order has been signed. After such notification is received, the Regional Office will begin notifying responsible parties as follows:

- Facility in operation with clients in care: When the Regional Office receives the signed Decision and Order, they shall immediately begin the notification process. At a minimum, notification will include agencies and individuals identified in the Facility Closure Plan. (See sample letters)
- Facility in operation, no clients in care: The Regional Office will identify the appropriate entities to be notified based on the situation. At a minimum, for adult/elderly facilities, the Ombudsman and Adult Protective Services will be notified.

**B. Notifying other Agencies**

The following agencies do not need to be involved in the Facility Closure Plan, but will be notified as soon as any action is taken.

- Child Care: The California Department of Education/Child Development Division and Child Care Food Program; and local County Welfare Department will be notified as soon as possible within 24 hours of the time of service.
- Adult/Elderly Care: State Department of Health Services - Licensing and Certification, County Medi-Cal, and the Social Security Administration, will be notified as soon as possible within 24 hours of the time of service.
- Children's Residential: The California Department of Social Services Foster Care Branch Chief and the California Department of Education will be notified as soon as possible within 24 hours of the time of service.

**1-1190 FACILITY CLOSURES: NOTIFICATION AND CLIENT  
RELOCATION (Continued)****1-1190****C. General Notifications**

- Local elected officials and legislative representatives: Call on the day that family members and responsible representatives are notified. Forward a copy of the proposed Decision and Order and letter sent to responsible parties, upon receiving notice that the order has been signed.
- Public Information Office: **Regional Manager** notifies the Department's Public Information Office when the Decision and Order is signed.

**5. Decision and Order Resulting from Stipulated Agreements**

Decisions and orders resulting from stipulated agreements that involve closure of a facility will become effective on a specific date identified in the settlement. The effective date will be no earlier than ten days after the Decision and Order is signed. This will allow time for offices to verify that the facility is still operating, to develop a closure plan, and to update contact lists.

**A. Notifying Family Members/Placement Agencies**

The Legal Division will contact the Regional Office when the Decision and Order has been signed. The Regional Office will then begin notifying responsible parties as follows:

- Facility in operation with clients in care: At the time the Regional Office receives the notice that the Decision and Order has been signed, they shall immediately begin the notification process. At a minimum, notification should include agencies and individuals identified in the Facility Closure Plan. A sample letter has been developed for this purpose.
- Facility in operation, no clients in care: the Regional Office should identify the appropriate entities to be notified based on the situation. At a minimum, for adult/elderly facilities, the Ombudsman and Adult Protective Services should be notified.

**B. Notifying other Agencies**

The following agencies do not need to be involved in the Facility Closure Plan, but require notification upon completion of any action that is taken.

**1-1190 FACILITY CLOSURES: NOTIFICATION AND CLIENT  
RELOCATION (Continued)****1-1190**

- Child Care: The California Department of Education/Child Development Division and Child Care Food Program; and local County Welfare Department will be notified as soon as possible within 24 hours of the time of service.
- Adult/Elderly Care: State Department of Health Services - Licensing and Certification, County Medi-Cal, and the Social Security Administration, will be notified as soon as possible within 24 hours of the time of service.
- Children's Residential: The California Department of Social Services Foster Care Branch Chief and the California Department of Education will be notified as soon as possible within 24 hours of the time of service.

**C. General Notifications**

- Local elected officials and legislative representatives: Call on the day that family members and responsible representatives are notified. Forward a copy of the proposed Decision and Order and letter sent to responsible parties, upon receiving notice that the order has been signed.
- California Department of Social Services Public Information Office: **Regional Manager** notifies Public Information Office at the time the Decision and Order is signed.

**III. GENERAL RELOCATION PROCEDURES****1. Scheduling of Effective Date for Facility Closure:**

The effective date for licensing action shall be scheduled to allow as much time as possible for an orderly relocation of clients with minimal disruption for the clients and their family members. In all cases, the effective date for closure of a facility shall be scheduled no earlier than 24 hours after notice is provided to placement agencies, clients and family members. Normally, this will mean that even in the case of a temporary suspension order, the facility will be authorized to continue operation for at least 24 hours after such notification is provided. In some cases involving a temporary suspension order, notification to family members may occur prior to the date of service. In such cases, the action to close the facility can be effective on the date of service.



**1-1190 FACILITY CLOSURES: NOTIFICATION AND CLIENT  
RELOCATION (Continued)****1-1190**

If there is reason to believe that any client who was the subject of the investigation is likely to be subject to physical harm by remaining in the facility for the additional time, it may be appropriate to contact representatives for that client earlier to provide for their relocation on the date of service.

**2. Staffing the Relocation Plan:**

In all cases, the **Regional Manager** or Program Administrator (or county equivalent) will be present at the facility during the relocation process, and will be responsible for coordinating all activities and answering any media contacts that may occur. In the case of temporary suspension orders, this will mean that the **Regional Manager** must be present at the facility on the date of service of the temporary suspension order and the day clients are relocated.

Licensing staff shall ensure that sufficient representatives from placement and Protective Services Agencies, as well as clients' authorized representatives, are present at the facility and who will be in charge of relocation. Arrangements shall be made to ensure that sufficient licensing staff, including Regional Office staff and regional investigators, are present to provide appropriate notification and to assist with relocation. Law enforcement, county health department officials and medical personnel may also be scheduled to be available depending on the circumstances of the action.

**SAMPLE LETTERS OF NOTIFICATION**

The letters contained in this section are meant to be sample letters. Actual letters will contain information on the specific actions to be taken and will need to be modified for a specific audience. Keep in mind that any letters sent to the general public will often be shared with local and State legislative representatives as well as the media. A well written letter meeting the requirements below will continue to send a message that the Licensing Agency is acting in a responsible and respectful manner. Letters should be developed based on the following guidelines:

- All letters must convey the supportive tone and the “non-bureaucratic” style of the sample letters.
- All letters to persons in care, parents or other family members must start with a brief description of the role of the Licensing Agency.
- In describing the action to be taken, use terms that can be easily understood.

**1-1190 FACILITY CLOSURES: NOTIFICATION AND CLIENT  
RELOCATION (Continued)****1-1190**

- Timeframes for the actions should be as specific as possible.
- The letter should identify persons or agencies that can be of assistance, including a phone number to call.
- The letter should provide a contact number for the Licensing Office to respond to any questions.
- All letters to persons in care must be signed by the Program Administrator. This sends the message that the office understands the seriousness of the closure and that the top local licensing official is overseeing these activities.

The following sample letters are included in this section:

1. Notification for Child Care temporary suspension order
2. Notification for Residential temporary suspension order
3. Notification for Residential Care Facility for the Elderly temporary suspension order
4. Notification of Unlicensed Facility (First notice)
5. Decision and Order

**DEPARTMENT OF SOCIAL SERVICES**

744 P Street, Sacramento, California 95814



## SAMPLE NOTIFICATION LETTER: CHILD CARE FACILITY TSO

**(Date)**

Dear Child Care Parent:

The Department of Social Services, Community Care Licensing Division is responsible for licensing and monitoring family child care homes and child care centers. Our goal is to protect the health and safety of children who are receiving child care in another person's home or out of home care. When it is determined that there is an immediate health and safety risk to children, the Department has the authority to immediately close a child care home. This action is called a Temporary Suspension Order.

The Department has determined that there is an immediate risk to children in care at ABC Child Care Center at 200 Pine Ave, Orange Town, California, 95000. This is to inform you that a Temporary Suspension Order is being served today on March 9, 2000. This closure will be effective March 10, 2000.

Because the suspension order prohibits the ABC Child Care Center from operating after March 10, 2000, we have arranged to assist you in locating other care arrangements for your child. The Child Action Resource and Referral Agency is prepared to work with you over the next few days to find alternate child care that meets your needs. You may contact Susan Smith at 916- 300-0000 for assistance. She is prepared to take your call and work with you immediately.

We regret any distress or inconvenience this action may cause you or your child. However, it is necessary for the protection of children in care. If you have any questions, please contact me at (916) 574-0000.

Sincerely,

**Regional Manager**

Attachment

**DEPARTMENT OF SOCIAL SERVICES**

744 P Street, Sacramento, California 95814

**SAMPLE NOTIFICATION LETTER: TSO – RESIDENTIAL**

March 6, 2000

Dear Resident/Family member:

The Department of Social Services, Community Care Licensing Division is responsible for licensing and monitoring residential care facilities. Our goal is to protect the health and safety of elderly who are receiving out of home care. The Department has the authority to immediately close a facility when it has determined that there is an immediate health and safety risk to clients.

The purpose of this letter is to notify you that the Department will serve Smith Care Home at 555 Oak St., Orange Town, California 95000 with a legal document called a Temporary Suspension Order (TSO). This document requires the facility to close on March 7, 2000. The Department took this action after determining that clients in care at this facility are of immediate risk of neglect or abuse, or otherwise in immediate danger.

We are notifying you of this action because the facility records identify you as a relative or other authorized representative for a client in care at Smith Care Home. Enclosed with this notice is a copy of the accusation originally filed against this facility. The accusation lists the conditions at the facility that resulted in our need to take this action.

The urgency of this situation made it impossible for us to provide you with any more advance notice. Our staff attempted to telephone all relatives for whom phone numbers were available. It is our hope that we were able to reach you ahead of time in this way.

Because this action will prohibit the facility from operating after March 7, 2000, enclosed is a listing of other licensed care facilities in the area that you may wish to contact for assistance in relocating yourself or your loved one.

We regret any distress or inconvenience this action may have caused you or your family. If you have any questions or would like additional referral information, please contact me at (916) 574-0000.

Sincerely,

\_\_\_\_\_, Regional Manager

\_\_\_\_\_  
Name of Office

Attachment

**DEPARTMENT OF SOCIAL SERVICES**

744 P Street, Sacramento, California 95814

**SAMPLE NOTIFICATION LETTER: TSO – RESIDENTIAL (RCFE)**

March 6, 2000

Dear Resident/Family member:

The Department of Social Services, Community Care Licensing Division is responsible for licensing and monitoring residential care facilities for the elderly. Our goal is to protect the health and safety of elderly who are receiving out of home care. The Department has the authority to immediately close a facility when it has determined that there is an immediate health and safety risk to clients.

The purpose of this letter is to notify you that the Department will serve TLC Care Home at 415 Elm St., Orange Town, California 95000 with a legal document called a Temporary Suspension Order (TSO). This document requires the facility to close on March 7, 2000. The Department took this action after determining that clients in care at this facility are of immediate risk of neglect or abuse, or otherwise in immediate danger.

We are notifying you of this action because the facility records identify you as a relative or other authorized representative for a client in care at TLC Care Home. Enclosed with this notice is a copy of the accusation originally filed against this facility. The accusation lists the conditions at the facility that resulted in our need to take this action.

The urgency of this situation made it impossible for us to provide you with any more advance notice. Our staff attempted to telephone all relatives for whom phone numbers were available. It is our hope that we were able to reach you ahead of time in this way.

Because this action will prohibit the facility from operating after March 7, 2000, enclosed is a listing of other licensed care facilities in the area that you may wish to contact for assistance in relocating yourself or your loved one.

We regret any distress or inconvenience this action may have caused you or your family. If you have any questions or would like additional referral information, please contact me at (916) 574-0000.

Sincerely,

\_\_\_\_\_, Regional Manager

\_\_\_\_\_  
Name of Office

Attachment

**DEPARTMENT OF SOCIAL SERVICES**

744 P Street, Sacramento, California 95814

**SAMPLE NOTIFICATION LETTER: UNLICENSED FACILITY**

Dear Resident/Family member:

The Department of Social Services, Community Care Licensing Division is responsible for licensing and monitoring out of home care. Our goal is to protect the health and safety of clients who are receiving child care in another person's home or out of home care. The Department has completed an investigation of Jones Care Home located at 415 Elm St., Orange Town, California 95000 and determined that this facility is operating and providing care to clients without a license. This operation violates sections of the criminal, civil, and administrative laws of California.

We are notifying you of this because we understand you may have a relative or other loved one residing at this facility. The Department has given the care provider, two options:

1. Stop providing care;
2. File an application within 15 days to become licensed.

If the operator of the facility files an application we will process it and make a decision on whether to grant a license to operate as soon as possible. If the operator does not file an application within the 15 day time period, we will be required to seek action through the local District Attorney or the Attorney General's office. It is also possible that even though an application is filed, the Department may not approve it.

If you wish to find a different facility, the Department will provide you with a list of licensed facilities and placement agencies that may be able to assist you in finding a suitable placement. Please contact me at (916) 574-0000 if you wish further assistance.

Sincerely,

[Redacted], Regional Manager

[Redacted]

Name of Office

**DEPARTMENT OF SOCIAL SERVICES**

744 P Street, Sacramento, California 95814



## SAMPLE NOTIFICATION LETTER: DECISION AND ORDER

March 6, 2000

Dear Resident/Family member:

On January 2, 2000, the California Department of Social Services Community Care Licensing Division notified you that an accusation was issued against TLC Care Home. The Department began legal action against the facility to protect the health and safety of clients in care. The Department has now received the decision from an Administrative Law Judge that revokes the license of TLC Care Home.

We are notifying you of this decision because facility records identify you as a relative or other authorized representative for a client in care at the facility. The earlier letter included a copy of the accusation originally filed against this facility so you can see the reasons why the Department requested that the facility be closed.

The closure will be effective on March 16, 2000. Please contact me at (916) 574-0000 in order to obtain lists of other licensed facilities in the area or be referred to local placement agencies that may assist you in relocating yourself or your loved one.

Sincerely,

\_\_\_\_\_, Regional Manager

\_\_\_\_\_  
Name of Office

**1-1195 FACILITY CLOSURE PLAN GUIDELINES****1-1195**

The following planning guide shall be used prior to, during and after any administrative action that results in the relocation of clients. The planning guide provides documentation as to what has been done and what needs to be accomplished and can assist staff in organizing and assigning various tasks.

Facility Name \_\_\_\_\_ License # \_\_\_\_\_

Address \_\_\_\_\_

Telephone # \_\_\_\_\_

License Category: \_\_\_\_\_

Licensee Name \_\_\_\_\_ Telephone # \_\_\_\_\_

Address \_\_\_\_\_

Proposed Admin. Action: TSO\_\_\_ Unlic. Facility \_\_\_ Dec. & Order\_\_\_

Proposed Date \_\_\_\_\_

Proposed Closure Date If Different \_\_\_\_\_

CCLD Attorney \_\_\_\_\_ Telephone # \_\_\_\_\_

Client Type (Check All That Apply)

☐ Children (Number) \_\_\_\_\_ ☐ D.D. Number \_\_\_\_\_

☐ Adults (Number) \_\_\_\_\_ ☐ M.D. Number \_\_\_\_\_

☐ Elderly (Number) \_\_\_\_\_ ☐ Non-ambulatory (Number) \_\_\_\_\_

Total Number of Residents \_\_\_\_\_ Date Roster Obtained: \_\_\_\_\_

Update Needed? ☐ Yes ☐ No Date \_\_\_\_\_



**1-1195 FACILITY CLOSURE PLAN GUIDELINES (Continued)****1-1195**

Agencies to be Involved (Check all that Apply and Complete Information) Refer to Section 1-1245, Resource List, for Information on Agencies.

<input type="checkbox"/>	DPSS/CWD	Contact	_____
	Telephone #	Date Called	_____
<input type="checkbox"/>	APS/CPS	Contact	_____
	Telephone #	Date Called	_____
<input type="checkbox"/>	Public Guardian/Conservator	Contact	_____
	Telephone #	Date Called	_____
<input type="checkbox"/>	SSA	Contact	_____
	Telephone #	Date Called	_____
<input type="checkbox"/>	Mental Health/Crisis Team	Contact	_____
	Telephone #	Date Called	_____
<input type="checkbox"/>	Regional Center	Contact	_____
	Telephone #	Date Called	_____
<input type="checkbox"/>	Local LTCO	Contact	_____
	Telephone #	Date Called	_____
<input type="checkbox"/>	DHS Licensing & Certification	Contact	_____
	Telephone #	Date Called	_____
<input type="checkbox"/>	Medical Consultant	Contact	_____
	Telephone #	Date Called	_____

**1-1195 FACILITY CLOSURE PLAN GUIDELINES (Continued)****1-1195**

<input type="checkbox"/>	County Probation	Contact	_____
	Telephone # _____	Date Called	_____
<input type="checkbox"/>	Foster Care Placement	Contact	_____
	Telephone # _____	Date Called	_____
<input type="checkbox"/>	Resource & Referral Agency	Contact	_____
	Telephone # _____	Date Called	_____
<input type="checkbox"/>	CDE – Child Development	Contact	_____
	Telephone # _____	Date Called	_____
<input type="checkbox"/>	Child Care Food Program	Contact	_____
	Telephone # _____	Date Called	_____
<input type="checkbox"/>	Law Enforcement	Contact	_____
	Telephone # _____	Date Called	_____
<input type="checkbox"/>	Other	Contact	_____
	Telephone # _____	Date Called	_____

**Planning/Strategy Meetings**

<u>Date/Time</u>	<u>Location</u>	<u>Agenda</u>
_____	_____	_____
_____	_____	_____
Overtime Needed <input type="checkbox"/> Yes <input type="checkbox"/> No		
<div style="background-color: #00FFFF; padding: 2px;">RO</div> Staff Names _____		

**1-1195 FACILITY CLOSURE PLAN GUIDELINES (Continued)****1-1195**

FOR ALL CLOSURE ACTIONS WHERE CLIENTS ARE IN CARE, EITHER THE **REGIONAL** OR **PROGRAM ADMINISTRATOR** SHALL BE ON SITE AND SHALL PERSONALLY SERVE THE ACTION AND ANSWER MEDIA INQUIRIES.

<b>RO</b> Staff Teams	<u>Major Task</u>
<b>LUM</b>	
Lead LPA	
LPA(s)	
Investigator	
Support Staff	
Attorney	
<u>Resident Planning &amp; Relocation</u>	<u>Agency/Person Responsible</u>
Team Leader/Coordinator	
Service of Accusation/TSO, or other notice	<b>Program Administrator or Regional Manager</b>
Locate Facilities	
Arrange Residents' Transportation	
Handle Residents' Funds Issues	
Competency Hearings	
Log & Track Residents	
Contact Relatives	
Screen/Interview Residents	
Take Declarations ( <b>RO</b> )	

**1-1195 FACILITY CLOSURE PLAN GUIDELINES (Continued)****1-1195**

Take Photographs (RO)

Residents' Belongings

Residents' Medications

Residents' Meals

Residents' Records

Change of Address Cards

Licensing Reports (RO)

Supplies/Other

Assignment Areas At Facility (Attach Copy Of Facility Sketch If Needed)

TaskLocationMeeting Place Prior to Closure  
Action

Time

Meeting Place After Closure Action

Time

Media/Public Contacts:

Refer To

Regional or Program Administrator

At the Facility

Refer To

Regional or Program Administrator

At the RO/Program  
Office

**1-1195 FACILITY CLOSURE PLAN GUIDELINES (Continued)****1-1195**Media Sources Interested:  
Name \_\_\_\_\_TV/Radio/Newspaper  
\_\_\_\_\_Wrap Up: Residents All Out? ☐ Yes ☐ NoParents/Guardians/Representatives Contacted? ☐ Yes ☐ NoCopies Of Accusation To Parents/Guardians/Representatives? ☐ Yes ☐ No

Names, If Not \_\_\_\_\_

Notices To Representatives Sent By \_\_\_\_\_ Date \_\_\_\_\_

Follow-up Needed \_\_\_\_\_

Notice to all entities identified in this planning guide and specified in Section 1-1190,

Facility Closure Plan \_\_\_\_\_ Date: \_\_\_\_\_

Follow-up Needed \_\_\_\_\_

Prepared By \_\_\_\_\_ Date \_\_\_\_\_

**\* AVAILABLE IN COMMON LIBRARY**

**1-1200 TEMPORARY SUSPENSION ORDERS****1-1200**

In addition to the following procedures, refer to Section 1-1190, Facility Closures: Notification and Client Relocation.

A temporary suspension order is an order signed by a Deputy Director, usually the Deputy Director of Licensing, or someone delegated by the Deputy Director of Licensing, suspending a license to protect residents or clients from physical or mental abuse, abandonment or any other substantial threat to their health and safety. Temporary suspension orders involving children's residential facilities should also be approved by the Children and Family Services Division. Refer to Section 3-2635 of the Complaint Section for details.

Temporary suspension orders are pursued in conjunction with revocation actions. In a straight revocation action the licensee has the legal right to continue to operate.

A temporary suspension order is sought when an immediate health or safety hazard exists in a facility and the operation must be closed immediately. The temporary suspension order may be as a consequence of an investigation report or result from an action taken collaterally such as the denial of a fire clearance. The temporary suspension order will specify an effective date when the operation of the facility must cease.

**1-1205 NECESSITY FOR A TEMPORARY SUSPENSION ORDER****1-1205**

In addition to the following procedures, refer to Section 1-1190, Facility Closures: Notification and Client Relocation.

Prior to requesting a temporary suspension order, the Licensing Agency shall consider the necessity of such an action based on Health and Safety Code, Sections 1550, 1569.50, 1568.082 and 1596.885. If you are reading this section because you have a facility problem and are wondering whether a temporary suspension order is appropriate, discuss the case with your **Local Unit Manager**. Counties and **Regional Offices** must notify the appropriate **Statewide Program Office** in order to obtain the temporary suspension order. If it appears that a temporary suspension order may be necessary for a community care facility, because of specific evidence needed for the interim hearing, the **Regional Manager** in consultation with the **Program Administrator** will contact an Assistant Chief Counsel or **Local Unit Manager** to get an attorney assigned. (See Section 1-1215.)

Factors to be considered in assessing whether an immediate substantial health or safety risk exists, include but are not limited to:

1. Is there danger to the health, welfare or safety of the clients in care? If so, a temporary suspension order recommendation may be appropriate.
  - a. Is the danger serious?

**1-1205 NECESSITY FOR A TEMPORARY SUSPENSION ORDER (Continued)****1-1205**

- b. Is the danger imminent?
  - c. Is the danger likely to reoccur?
- 2. Are clients in danger of abandonment or serious neglect, or have they been abandoned or seriously neglected? If so, a temporary suspension order recommendation may be appropriate.
- 3. Are facility personnel present who have been involved in the abuse, neglect or provision of inappropriate or unsatisfactory care of the client? If so, consider number four below.
- 4. Can the danger be eliminated by excluding a staff, volunteer, outsider or client from the facility? (See Section 1-1415, IMMEDIATE EXCLUSIONS ORDERS PRIOR TO HEARING, and Section 1-1450, ACTIONS CONCERNING OTHER PERSONS IN FACILITY)?
  - a. Under most circumstances the licensee cannot be excluded from the facility because the licensee must be responsible for everything that goes on in the facility. A case where it might be appropriate would be when there is more than one licensee.
  - b. Under most circumstances it is inappropriate to order a licensee removed from his/her own home.
  - c. Under most circumstances it is inappropriate to order the licensee to exclude his/her spouse or minor children from a facility that is his/her home.
- 5. Is there any other way to protect present and future clients? If not, then a temporary suspension order recommendation may be appropriate. If so, a temporary suspension order recommendation still may be appropriate, depending on other factors.
- 6. Is the facility still operating and/or could new clients be placed in the facility?
  - a. If the license has been forfeited or surrendered, and the facility has in fact stopped operating and has no clients, a temporary suspension order is not necessary or legally feasible. An immediate referral for revocation for the record, however, still should be made.

**1-1205 NECESSITY FOR A TEMPORARY SUSPENSION  
ORDER (Continued)****1-1205**

- b. If licensing subsequently becomes aware that the licensee may be operating without a license (for example an ad is placed in a supermarket offering day care), an injunction or referral to the District Attorney for criminal prosecution should be requested immediately.
  - c. If the facility is legally entitled to operate (that is, the license was not surrendered or forfeited, the licensee still has possession of the license and the property is not abandoned), then a temporary suspension order may be warranted because of the possibility of the licensee reopening the facility, or accepting clients, without the Department's knowledge.
- 7. Is there serious potential danger to the clients in the facility as evidenced by such things as:
  - a. Violent or dangerous act(s) committed against persons outside the facility by licensees, staff or other persons residing in or with access to the facility.
  - b. Violent or dangerous act(s) committed against anyone in the facility, including the spouse or child of the licensee, by licensees, staff or other person residing in or with access to the facility.
  - c. Violent or dangerous act(s) committed in front of clients, by the licensees, staff or others with access to the facility.

If, so a temporary suspension order recommendation may be appropriate.
- 8. What is the licensee's culpability in the event(s)?
  - a. Did the licensee know about the event(s) and fail or refuse to act appropriately to avoid or prevent the event(s)? If so, a temporary suspension order recommendation may be appropriate.
  - b. Should the licensee have known about the event(s) and taken action to avoid or prevent the event(s)? If so a temporary suspension order recommendation may be appropriate.
  - c. What is the licensee's demonstrated willingness to appropriately control such event(s) in the future? Actions, rather than promises, should be examined here. Has there been inaction or inappropriate action? If so, a temporary suspension order recommendation may be appropriate.



**1-1205 NECESSITY FOR A TEMPORARY SUSPENSION  
ORDER (Continued)****1-1205**

- d. What is the licensee's capability to appropriately control such event(s) in the future? A lack of control supports a temporary suspension order recommendation.
  - e. What is the licensee's history on these issues? A history of previous similar incidents support a conclusion that the licensee should have acted sooner to avoid or prevent the event(s) and that a temporary suspension order recommendation is appropriate.
9. What are the number, frequency, and seriousness of the incidents?
- a. One serious incident, physical or sexual abuse for example, is often enough to warrant a temporary suspension order recommendation.
  - b. Is the most recent incident one in a pattern of similar incidents? The last incident, alone, may not appear to be sufficient, but taken as a pattern of conduct a temporary suspension order recommendation may be warranted.
10. Has the licensee, a staff member, volunteer, client or outsider with access to the facility been arrested for and/or convicted of any of the crimes for which an exemption cannot be granted? Conviction information and arrest information (if the arrest information is supported by other evidence, such as statements from competent witnesses) usually is a sufficient basis for a temporary suspension order recommendation.
- a. For residential community care facilities, adult day care facilities, and adult day support centers, see Health and Safety Code Section 1522 (f) or
  - b. For child care facilities and family child care homes, see Health and Safety Code Section 1596.
  - c. For residential care facilities for the elderly, see Health and Safety Code Section 1569.17 (e).
  - d. For residential care facilities for the chronically ill, see Health and Safety Code Section 1568.09 (e).

**1-1205 NECESSITY FOR A TEMPORARY SUSPENSION ORDER (Continued)****1-1205**

11. Is there evidence that a death or serious injury occurred because of abuse or willful neglect by the personnel of the facility? If so, refer back to numbers four and nine.
  - a. At a child care facility (child care center or family day care home), a temporary suspension order must be issued within two working days of receipt of evidence that the death or serious injury was due to abuse or willful neglect by the licensee or facility personnel. (See Health and Safety Code Section 1596.8865).
  - b. As used in Health and Safety Code Section 1596.8865, "serious injury" means a serious impairment of physical condition, including, but not limited to, the following: Loss of consciousness; concussion, bone fracture; protracted loss or impairment of function of any bodily member or organ; a wound requiring extensive suturing; and serious disfigurement.
12. The passage of time since a serious incident occurred does not necessarily make a temporary suspension order recommendation inappropriate, nor does time between a serious incident and the receipt of a complaint about that incident, alter the requirement that it be investigated immediately.
  - a. If the incident is serious enough to warrant a temporary suspension order, a temporary suspension order recommendation should be made, regardless of the length of time since the incident(s) occurred.
13. If a fire clearance is required by the facility category and the facility is operating without a fire clearance a temporary suspension order recommendation must be made unless an immediate call to the fire authority verifies that an immediate correction is possible to rescind the fire clearance denial and the licensee agrees to take immediate corrective action. If this is not clearly the case, make the temporary suspension order referral.

**NOTE:** Size and type of facility, and potential transfer trauma are significant questions to be considered in the implementation of a temporary suspension order

(See Sections 1-1190 and 1-1225 through 1-1270).

If, at any point in the discussion with **Local Unit Manager**, **Regional Managers** or **Program Administrators**, questions arise about whether there is sufficient evidence to support a temporary suspension order, call the Legal Division.

**1-1205 NECESSITY FOR A TEMPORARY SUSPENSION ORDER (Continued)****1-1205**

Allegations, which require additional investigation, should be referred by **Regional Offices** to the **Program Investigations** (Refer to Section 1-0600). Depending upon the nature of the allegation, **Program Investigations** and the **Regional Office** may work in conjunction to develop the essential documents for a temporary suspension order and revocation.

**Program** offices will work with county licensing agencies and the Legal Division to determine whether the evidence available will support a temporary suspension order.

**1-1210 TELEPHONE TEMPORARY SUSPENSION ORDERS****1-1210**

In addition to the following procedures, refer to Section 1-1190, Facility Closures: Notification and Client Relocation.

A telephone temporary suspension order is a method to refer a case immediately to the Department's Legal Division when expedited legal services or investigative consultation is required in cases involving major and immediate risks to clients in care. The decision to recommend a telephone temporary suspension order to the Deputy Director is made by the **Regional Manager** and **Program Administrator** in consultation with the Assistant Chief Counsel assigned to the particular **Regional Office**.

A telephone temporary suspension order is warranted under the following circumstance:

1. There is a major and immediate risk to clients in care and the circumstances of the case are urgent enough to warrant an immediate mobilization of the Department's temporary suspension order authority.

It is appropriate to alert the Legal Division to the possibility of a telephone temporary suspension order; if there is a major investigation in process which may result in a temporary suspension order being required and the services of an attorney would assist in the resolution of the investigation.

The determination of whether a case is appropriate for a telephone temporary suspension order is made on a case-by-case basis. Factors to be considered:

1. Is the alleged perpetrator or dangerous condition still present in the home or facility?
2. How provable is the allegation now?
3. Will more time for an investigation improve the ability of the Department to prove the allegation?

**1-1210 TELEPHONE TEMPORARY SUSPENSION ORDERS (Continued) 1-1210**

When referring the matter to the Legal Division for a telephone temporary suspension order, the **Regional Office** staff should be prepared to discuss the alleged violations and evidence establishing the risk of harm; to identify the names and locations of key witnesses; to summarize the history of the facility and the licensee; and to estimate when the **Regional Office** can serve the temporary suspension order and assist in its implementation. For community care facilities, must be able to estimate probability of obtaining evidence as needed for the interim Hearing (See Section 1-1215). DO NOT DELAY MAKING THE TELEPHONE TEMPORARY SUSPENSION ORDER REFERRAL BECAUSE YOU HAVE NOT OBTAINED DECLARATIONS. The necessity of declarations can be discussed with the assigned attorney. After the telephone temporary suspension order is approved and served, the **Regional Office** must prepare and submit a Statement of Facts within three working days of telephone approval to complete the record and to advise the **Program Administrator** and the Legal Division of any other relevant information.

**1-1211 TEMPORARY SUSPENSION ORDER PROCESS 1-1211**

In addition to the following procedures, refer to Section 1-1190, Facility Closures: Notification and Client Relocation.

The following procedures must be used when a temporary suspension order is appropriate:

1. The Licensing Program Analyst and the **Local Unit Manager** are responsible for bringing to the attention of the **Regional Manager** all cases that warrant a telephone temporary suspension order or immediate involvement of the Legal Division staff in the investigation of a potential temporary suspension order.
2. The **Regional Manager** may consult with his or her legal consultant or other attorney in the Legal Division on whether the case is appropriate for a temporary suspension order.
3. The **Regional Manager** or Supervising Investigator must discuss the matter with the **Program Administrator** or his or her designee and obtain the concurrence of the **Program Administrator** before the Legal Division will assign an attorney.
4. Counties must notify **Statewide Program Office** staff in order to obtain the temporary suspension order.

**1-1211 TEMPORARY SUSPENSION ORDER PROCESS (Continued)****1-1211**

5. If it is agreed to handle the case as a telephone temporary suspension order:
  - a. The **Program Administrator** or **Regional Manager** must contact the Assistant Chief Counsel for the assigned District/County Office. The facts and evidence are discussed. Additional evidence needed will be identified.
  - b. The Assistant Chief Counsel immediately assigns an attorney and informs the **Regional Manager** of the attorney assigned.
  - c. The **Statewide Program Office** immediately assigns a legal case number and verbally gives the number to the Assistant Chief Counsel and **Regional Manager**.
6. The attorney assigned will work closely with the District/County Office and/or investigations staff to develop the case. In a telephone temporary suspension order situation, the attorney assigned will immediately contact the Licensing Program Analyst and/or investigator assigned to the case. Together, they will develop the case and draft the documents for service. The District Licensing Program Analyst sends required documentation to the Legal Division by FAX, by overnight mail, or the attorney may come to the **Regional Office**, depending on the situation. A completed **Program Investigations** report is not necessary prior to service of a temporary suspension order. This is a team effort, so it is important that **Regional Office** staff are available to work on the case.
7. Before a temporary suspension order is served, the Licensing Program Analyst will check the Licensing Information System and assure that all licenses of the licensees, regardless of the district or county where located, are assigned case numbers. This Licensing Information System check may also be done by **Statewide Program Office** staff.
8. Key documents necessary for the temporary suspension order should be sent or faxed to the Legal Division immediately.
9. Preparation of the Statement of Facts for a temporary suspension order shall have top priority for all Community Care Licensing Division staff. For a telephone temporary suspension order, the Licensing Program Analyst prepares a Statement of Facts within three working days of telephone approval by the Legal Division.

**1-1211 TEMPORARY SUSPENSION ORDER PROCESS (Continued)****1-1211**

The Licensing Program Analyst prepares two copies of the following documents:

- a. Statement of Facts Summary Sheet (LIC 9029A) for each facility owned by the licensee.
- b. LIC 9029A - Case Summary Section.

The Licensing Program Analyst case summary must be short and to the point. State in the first paragraph that the case has been referred as a telephone temporary suspension order and the date approved by the **Program Administrator** and the attorney assigned.

- c. Copies of all the current and prior licenses of the licensee.
- d. The Department of Justice notification documents. (LIC 9011A)
- e. Any other documents requested by the Legal Division that has not already been sent.

The **Regional**/County Office should keep a copy of the complete, identical Statement of Facts sent to the Legal Division.

10. For temporary suspension orders, both copies of the Statement of Facts are sent to the **Statewide Program Office** for sign-off. For telephone temporary suspension orders, one copy of the above packet is sent directly to the Legal Division and one to the **Statewide Program Office** with the appropriate sign-offs.
11. The **Statewide Program Office** will assure the following in a telephone temporary suspension order situation:
  - a. That a new number is not assigned when the Statement of Facts is received from the **Regional Office**.
  - b. That the Statement of Facts package is sent from the **Regional Office**.
12. All communication to the Legal Division on a telephone temporary suspension order must include the attorney's name.

**1-1215 TEMPORARY SUSPENSION ORDER INTERIM  
HEARINGS FOR COMMUNITY CARE FACILITIES****1-1215**

In addition to the following procedures, refer to Section 1-1190, Facility Closures: Notification and Client Relocation.

**Remove the following section does not apply to Child Care Facilities, Residential Care Facilities for the Chronically Ill or Residential Care Facilities for the Elderly.**

Health and Safety Code, Section 1550.5 requires special procedures in the case of temporary suspension orders for community care facilities. The following types of facilities are governed by the interim hearing procedures: group homes, foster family homes, small family homes, adult residential facilities, adult day care facilities, adult day support centers and social rehabilitation facilities, adoption agencies and foster family agencies.

The community care facility temporary suspension order is served on the licensee in the same manner as other temporary suspension orders. However, the community care facility temporary suspension order differs from a basic temporary suspension order in three ways. First, the community care facility temporary suspension order has additional documents that must be served with the temporary suspension order.

These documents explain interim hearing rights and procedures to respondents and provide an interim hearing request form. Second, in a community care facility temporary suspension order, there is a right to an interim hearing which does not exist in the basic temporary suspension order. Third, all available discovery must be served with the temporary suspension order.

Community care facility licensees have five days from the date of service of the temporary suspension order in which to request an “interim hearing.” Licensees will send interim hearing requests directly to the Office of Administrative Hearings. Neither **Statewide Program Offices**, **Regional Offices**, nor county offices may accept interim hearing requests. The interim hearing, which is scheduled and conducted by the Office of Administrative Hearings, must take place within ten working days of the request. The purpose of the interim hearing is to determine whether the temporary suspension order should remain in effect.

**NOTE:** The respondent may concurrently file a writ in Superior Court to challenge the Department’s issuance of a temporary suspension order, while also going through the interim hearing process.

The licensee/respondent will have the burden to prove a reasonable likelihood that he/she will prevail at the full evidentiary hearing and will have to prove that the injury to him/her, if the facility remains closed, outweighs the potential harm to the clients/residents if the facility remains open. The Administrative Law Judge may only vacate the temporary suspension order if the respondent proves these two factors.

**1-1215 TEMPORARY SUSPENSION ORDER INTERIM  
HEARINGS FOR COMMUNITY CARE FACILITIES****1-1215**

The Department must provide to the licensee/respondent and the licensee/respondent must provide to the Department, by either overnight delivery or fax, no later than five working days before interim hearing, all available discovery which each party will use at the interim hearing. Available discovery includes: Affidavits, declarations, name(s) of witnesses who will testify at the evidentiary hearing, and other evidence relied upon to issue the temporary suspension order. No live testimony will be given at the interim hearing. Both the respondent and the Department may use a hearsay statement made by the victim in lieu of an affidavit if the Administrative Law Judge decides that the party has shown circumstances to indicate the trustworthiness of the victim's hearsay statement.

At the conclusion of the hearing the Administrative Law Judge will issue a verbal decision and will issue a written decision within five working days. The Department or licensee/respondent may file a petition for review of the decision, which must be heard by the court within ten days of its filing. The court shall issue its judgement on the petition within ten days of the conclusion of the hearing.

The licensee has the burden at the interim hearing of showing that the Department abused its discretion in issuing the temporary suspension order. Although no persons will testify at the hearing, the licensee will present oral arguments to show that the facts pled in the Accusation are not sufficient for a temporary suspension order to be issued. At the conclusion of the hearing, the Administrative Law Judge issues a verbal interim decision which sustains or vacates the order.

The Licensing Program Analyst normally attends the interim hearing to provide any case information or assistance to the Licensing Attorney. If the licensee contacts the **Regional Office** with any questions prior to the interim hearing, the Licensing Program Analyst should advise the licensee to contact the Legal Division attorney assigned to the case.

**1-1220 TEMPORARY SUSPENSION ORDER EFFECTIVE DATE****1-1220**

In addition to the following procedures, refer to Section 1-1190, Facility Closures: Notification and Client Relocation.

The effective date of the temporary suspension order (the date facility operation must cease) will be established by the Deputy Director, based upon the recommendation of the **Regional Office**, **Statewide Program Office** and Legal Division staff.



**1-1220 TEMPORARY SUSPENSION ORDER EFFECTIVE DATE**  
(Continued)**1-1220**

In providing a recommendation for the effective date of the temporary suspension order the Licensing Agency should take the following factors into consideration:

1. How many clients require removal from the facility to another site?
2. How prepared are the local agencies to make such a move? This is related to the issue of availability of alternative placement sites.
3. On balance, which poses greater risk to the clients-staying at the facility for a few more days or the possible trauma the clients might experience from an abrupt move?
4. How long will it take to serve the temporary suspension order and notify all placement agencies and authorized representatives?
5. For child care facilities, can the temporary suspension order be served on a Thursday to allow maximum time for parents to locate alternative care arrangements?

**1-1225 SERVING TEMPORARY SUSPENSION ORDERS**  
**UNDER SPECIAL CIRCUMSTANCES (REPEALED APRIL 2000)****1-1225****1-1235 PLANNING PROCEDURES PRIOR TO A TEMPORARY**  
**SUSPENSION ORDER****1-1235**

In addition to the following procedures, refer to Section 1-1190, Facility Closures: Notification and Client Relocation.

The temporary suspension order planning procedures are designed to assist staff in the service of a temporary suspension order. Careful planning and coordination can reduce the trauma of a temporary suspension order for residents and for **Regional Office** staff. The excitement, confusion and stress produced by the sudden removal of a person from his or her home, can have serious consequences for the resident. A temporary suspension order should be served only when staying at the facility presents a greater danger to the health and safety of the residents than relocation.

Some of the routine temporary suspension order planning procedures can be prepared and maintained well in advance, while others will require last minute preparations. The procedures, discussed in the following sections, will begin with those preparations that can be done well in advance and lead into the actual service of a temporary suspension order.

**1-1240 TEMPORARY SUSPENSION ORDER MASTER KIT****1-1240**

In addition to the following procedures, refer to Section 1-1190, Facility Closures: Notification and Client Relocation.

Each **Regional Office** should maintain readily available a master temporary suspension order kit. The following list, while not comprehensive, contains the basic items to be included in each kit:

1. Facility Roster.
2. Licensing Information System facility lists for relatives/placement agencies.
3. Extra copies of temporary suspension order for relatives/placement agencies.
4. **Regional Office** directories/resource list.
5. Address change cards for residents.
6. Xerox machine, plug adapter and paper.
7. Camera and film (35mm and Polaroid).
8. Cellular Phone.
9. Business cards for licensing staff.

**LIC Forms Packet:**

LIC 622 - Centrally stored medications.  
LIC 627 - Medical information release.  
LIC 811 - Confidential names.  
LIC 859 - Review of staff records.  
LIC 858 Review of client records (residential facilities).  
LIC 857 - Children's record review (child care centers).  
LIC 855 - Declarations.  
LIC 813 - Photography report.  
LIC 812 - Detailed supportive information.  
LIC 809 - Licensing report.

10. Water and cups.
11. Large plastic bags and ties (resident's property).
12. Assorted sizes of paper bags (evidence/medication bags).
13. Gloves, masking tape, safety pins and stapler.
14. Markers, pens and note pads.
15. Name tags labels and receipts.
16. Boxes for packaging records/personal items of residents.
17. Kleenex and toilet paper.

## 1-1245 AGENCY RESOURCE LIST

1-1245

In addition to the following procedures, refer to Section 1-1190, Facility Closures: Notification and Client Relocation.

The **Regional Office** must determine the agency resources needed for relocation. Depending upon the payment status (SSI or private pay), placement agency or lack of and conditions of the residents, the **Regional Office** will need to call upon other agencies to assist in the relocation process. The purpose of coordination is to keep other entities informed, as a temporary suspension order may effect the agency's operation and to obtain assistance in placing clients, thereby reducing transfer trauma and adverse affect on families of clients in care.

Each **Regional Office** should create and maintain a list of possible resources. Sections 1-1260 and 1-1265 describe further how these agencies may be utilized and why coordination is important.

The following list should be used as a basis for creating an individual master list in each **Regional Office**:

- **County Department of Public Social Services or County Welfare Department Management:** This contact should be made by the **Local Unit Manager** or **Regional Manager**, seeking a commitment of cooperation with **Regional Office** staff. This agency may be able to facilitate emergency placement services or provide staff to assist in the relocation process.
- **Adult Protective Services:** The extent of Adult Protective Services involvement may vary by county depending on staff resources. However, Adult Protective Services should be contacted and included whenever possible to facilitate placement for those residents meeting Adult Protective Services criteria, who have no other case manager.
- **County Medi-Cal Eligibility Unit:** If a resident does not already have Medi-Cal and needs medical care, this unit may be able to expedite the process.
- **Public Guardian/Conservator's Office:** These agencies sometimes place residents in community care facilities or residential care facilities for the elderly or have responsibility for handling residents' money. There may be residents in the facility who have no responsible parties but are not competent to make decisions regarding their care. The Guardian or Conservator's office may be able to assist with those residents.

## 1-1245 AGENCY RESOURCE LIST (Continued)

1-1245

- **Social Security Administration:** This agency may not actively participate in the relocation process, but can assist in other ways. A social worker from Adult Protective Services, for example, may determine that a resident is eligible for SSI, and could contact Social Security Administration to begin the process. Ideally, a worker at Social Security Administration would be designated and alerted to expedite the process. Also, the Social Security Administration worker can provide the change of address cards needed to ensure that the recipients' checks are mailed to the correct facility the following month.
- **County Mental Health Department, Continuing Care and/or Crisis Team:** Mental Health may have clients placed in the facility, and would be involved for that reason. This agency may also be helpful in determining the competency of residents who appear to be mentally ill.
- **Regional Centers for the Developmentally Disabled:** These agencies often have residents in facilities, and they may be able to help with other residents who have a dual diagnosis of developmental disability and mental illness.
- **Long Term Care Ombudsman:** The Ombudsman may know of current vacancies in suitable facilities. Because they frequently assist family members seeking placement, Ombudsmen can call other facilities prior to the temporary suspension order.
- **Department of Health Services Licensing and Certification:** This Division's licensed medical personnel may be consulted when medical level of care is an issue at the facility. This agency must also be involved if the facility has a skilled nursing facility affiliated with it.
- **County Probation Office:** This agency may have clients in placement at the facility or know of vacancies where the children could be placed.
- **Child Protective Services and/or County Welfare Foster Placement:** These agencies may have clients placed in the facility or know of vacancies and be able to assist in the relocation of children.
- **Resource and Referral Agencies:** These agencies may know of vacancies and be able to assist parents in finding other suitable child care.

**1-1245 AGENCY RESOURCE LIST (Continued)****1-1245**

- **Medical Consultant/Personnel:** To provide an on-site evaluation of residents and assist in the transfer of residents in order to prevent transfer trauma as specified in health and safety code 1556 (c) and 1569.525.
- **Law Enforcement:** Depending on the situation, there may be a need for back-up from local law enforcement.
- **Other Agencies:** Any other local agency that the **Regional Office** determines can assist in the serving of the temporary suspension order or in the relocation of clients.

**1-1255 OBTAINING A CLIENT CENSUS PRIOR TO  
A TEMPORARY SUSPENSION ORDER****1-1255**

In addition to the following procedures, refer to Section 1-1190, Facility Closures: Notification and Client Relocation.

If a temporary suspension order is necessary, the Licensing Agency shall conduct a visit to the facility to obtain a current client census. The LIC 9020, Roster of Facility Clients/Residents can be used to record the names of each client's placement agency or other authorized representative and their addresses and telephone numbers. If the temporary suspension order will be served on a day care facility, the LIC 9040, Child Care Facility Roster should be used to obtain the names, addresses and telephone numbers of the parents/guardians who have children in care at the facility.

If the facility is large it may be necessary to send more than one Licensing Program Analyst to assist in gathering the information. During this visit, the Licensing Program Analyst(s) should also document any medical conditions of the residents, which could place the residents at risk for transfer trauma if moved from the facility.

If it appears that clients are in need of, but are not receiving proper medical attention, the Licensing Agency shall do the following: Contact and consult with physicians or other medical staff regarding the necessity of immediately removing clients from the facility. If the temporary suspension order is served before removing the clients, the Licensing Agency shall use physicians or other medical consultants to provide an on-site evaluation.

If there is a considerable delay between obtaining the client census and the probable service date, it will be necessary to revisit the facility prior to serving the temporary suspension order to obtain an up-to-date client census.

**1-1255 OBTAINING A CLIENT CENSUS PRIOR TO  
A TEMPORARY SUSPENSION ORDER (Continued)****1-1255**

In nearly all cases, a client census can be obtained during the visit at which the Licensing Program Analyst determines the need for the temporary suspension order: i.e., complaint, annual or case management visit.

**1-1260 COORDINATION WITH PLACEMENT AGENCIES****1-1260**

In addition to the following procedures, refer to Section 1-1190, Facility Closures: Notification and Client Relocation.

In accordance with the statewide Memorandum of Understandings (Refer to Appendix E), **Regional Offices** are expected to meet regularly with local agencies in order to establish professional relationships and develop local Memorandum of Understandings when appropriate. To foster cooperation and communication, the Regional Office may meet regularly with other local agencies not covered by statewide Memorandum of Understandings, such as Adult Protective Services. The Regional Office may also enter into separate local Memorandum of Understandings with these agencies to delineate client relocation roles and responsibilities.

Prior to serving a temporary suspension order, the **Regional Office** must determine the resources needed for relocation, who should be contacted and when. The need to retain confidentiality of the impending temporary suspension order has to be balanced with the need for as much advance notice as possible to agencies who will be seeking other placements for the residents. Refer to Section 1-1245 for agency resources.

**There are certain agencies the **Regional Office** must notify prior to the service of a temporary suspension order. Those agencies include the following:**

- Health and Safety Code Section 1596.853 mandates prior notification to the Child Development Division of the State Department of Education and the appropriate resource and referral when the temporary suspension order is against a facility funded by State Department of Education.
- Health and Safety Code Sections 1556 and 1569.525 require prior notification to any local agency that may have placement or advocacy responsibility for the residents of a community care facility or residential care facilities for the elderly.
- Federal law (Keys Amendment) requires the **Regional Office** to inform the Social Security Administration of the impending service of the temporary suspension order, the name and address of the facility and the name of all SSI recipients residing in the facility. Refer to Section 1-1700.

**1-1260 COORDINATION WITH PLACEMENT AGENCIES (Continued) 1-1260**

- The Memorandum of Understanding with the Office of the State Long-Term Care Ombudsman requires the **Regional Office** to notify the local Ombudsman Program prior to the issuance of a temporary suspension order. Refer to Appendix E for further details on the Memorandum of Understanding.

Once it has been determined which agencies need to be notified of the impending temporary suspension order, **Regional Office** staff should schedule a coordination meeting with the management staff from the designated agencies. A brief explanation of why the temporary suspension order is necessary should be provided. During the meeting, **Regional Office** staff should provide full disclosure to the agency managers, but stress the need for confidentiality. **Regional Office** staff should request that the managers not disclose the facility name to the agency's placement workers, only the number and type of residents who will require relocation.

In most cases, the coordination meeting will be held one to three working days prior to the service of the temporary suspension order. Due to the speed of a telephone temporary suspension order, the District may need to conduct the coordination via a conference call or individual calls.

**Other issues to be discussed during the planning meeting with placement agencies include the following:**

- Consider the time of day and day of week the temporary suspension order can be served and what can realistically be accomplished during usual working hours, before the weekend or a holiday. For child care facilities, whenever possible, serve the temporary suspension order on a Thursday to allow the parents the weekend to locate alternate child care.
- It may be necessary to use a delayed effective date temporary suspension order in circumstances when the necessary beds are not available. See Section 1-1190 for scheduling temporary suspension order effective dates.
- Depending on the residents' medical condition, discuss relocation procedures in regard to the risk of transfer trauma to the residents and the need for the use of a nurse consultant.
- Considering the layout of the facility, determine where various actions will take place. For example, where can the residents be privately interviewed by Adult Protective Services or the Public Guardian. Where will the residents wait for their rides to the new facility. In large facilities, it may be necessary to copy and distribute the facility sketch from the case file.
- If there is danger of desertion of the facility by the licensee, plans must be made for someone to stay with the residents who are not placed. Decide which agency will supply staff.

**1-1260 COORDINATION WITH PLACEMENT AGENCIES (Continued) 1-1260**

- If competency hearings are needed, no forced removal can be done until after the hearing, which may not be until the next work day or later. The Guardian/Conservator will know details of the local procedures. The 72 hour involuntary hold (AKA a 5150) may be appropriate in some cases.
- If resident funds held by the facility or pro-rated rent refunds are not going to be available, financial planning will be necessary. Special Circumstance Allowances are available for SSI recipients and may be accessed through a county agency like Adult Protective Services.
- Determine which agency(ies) will have primary resident planning and relocation responsibilities before and or at the time of service of the temporary suspension order, including:

Contacting other licensed facilities to locate openings and arrange for transportation to the facilities. The **Regional Office** should provide copies of the Licensing Information System list of appropriate facilities in the area, if necessary.

Contacting relatives to inform them of the temporary suspension order at least 24 hours prior to the effective date of the temporary suspension order. This should be done from the **Regional Office** or other agency(ies), to free the telephone at the facility.

Ensuring that the amount of money due the resident is refunded, or other relocation funds accessed.

Ensuring that residents' medications, personal belongings and records accompany them to the new location.

Submitting change of address cards so the residents' mail will be forwarded. The Social Security Administration contact person can provide the separate forms needed for changing addresses to receive benefit checks.



**1-1265 TEMPORARY SUSPENSION ORDER TEAM****1-1265**

In addition to the following procedures, refer to Section 1-1190, Facility Closures: Notification and Client Relocation.

Although some tasks may be delegated to other agencies, the **Regional Office** has the ultimate responsibility for the temporary suspension order service and relocation process. To ensure that the process operates smoothly and efficiently, the **Regional Office** should develop a temporary suspension order team and schedule a planning meeting.

**The size of the team will be determined by the size of the facility and the number of residents. The team should consist of the following:**

- The **Regional Manager** or **Program Administrator**, or county equivalent.
  - The Licensing Program Analyst assigned to the facility.
  - The **Local Unit Manager** assigned to the facility.
  - Other experienced Licensing Program Analysts and support staff.
- Program** Investigators.  
The Legal Division attorney assigned to the case.

The team leader or coordinator will be the **Program Administrator**. If more than one team will be needed, make sure that everyone is clear on who is in charge of which team and which functions. In very large facilities, it may be useful to have color-coded name tags to identify teams. All **Regional Office** staff involved will not always be known to outside agency staff. Knowing that anyone with a red name tag is working on interviews and declarations may cut down on some of the confusion.

Utilizing the Agency Resource List in Section 1-1245 and the Planning Guide for temporary suspension order Procedures in Section 1-1250, the next step is to assign team roles or tasks. Tasks not assigned may be overlooked in what may be a very stressful situation. Some of the tasks may have been delegated to other agencies during your planning meeting with those agencies as outlined in Section 1-1260.

## 1-1265 TEMPORARY SUSPENSION ORDER TEAM (Continued)

1-1265

Team roles to be assigned should include the following:

- **Server of a temporary suspension order** - This duty shall be assigned to the **Regional Manager or Program Administrator**. For county licensing offices, the Licensing Program Manager shall serve the temporary suspension order. Follow procedures as outlined in Sections 1-1190 and 1-1270.
- **Team Leader** - Sets up temporary suspension order command post, reviews team assignments, assesses each team member's progress and assigns additional help if needed. The **Regional Manager** or **Program Administrator** (or county equivalent) will serve as team leader.
- **Resident/Family Contacts** - Depending on client population, inform residents of temporary suspension order in the best way to minimize trauma. This may be done in a group meeting or may require individual notification. A letter explaining why the temporary suspension order is being served should be passed out to residents, relatives and responsible representatives. Assist with calming residents and family members.
- **Residents' Needs** - Ensure that residents' needs are met by licensee or designated agency or **Regional Office** staff until close of business, including meals and medications. Check rooms to determine if all personal items have been packed and provide assistance as needed.
- **Resident Relocations** - Assign someone to ensure that when children are removed from a child care facility that the persons taking the children away are the parents or person authorized in facility records to have custody of the child. In a residential care facility for the elderly ensure that clients leave in the custody of an authorized placement agency or other responsible person. If the facility is large or has several exits, it may be necessary to station a person at each exit to ensure that placement agencies or relatives do not move clients without Community Care Licensing Division knowing that the clients are safe and in the custody of responsible persons. It is appropriate to ask for identification from unknown persons.
- **Communications** - Notifies the **Regional Office**, **Statewide Program Office** and the Legal Division after temporary suspension order has been served. If work is expected to extend after normal work hours, the team leader should have the attorney's and other appropriate staff's home telephone numbers.

## 1-1265 TEMPORARY SUSPENSION ORDER TEAM (Continued)

1-1265

- **Parent Contacts** - Contact parents as they arrive to pick up their children and provide them with a copy of the Accusation and accompanying letter.
- **Media Responsibility** – The **Regional Manager** provides a copy of the temporary suspension order and Accusation to Public Information Office at the time the temporary suspension order is approved. If the **Regional Office** is contacted by the media regarding the temporary suspension order, the **Regional Office** should refer to the media to the Public Information Officer; the **Program Administrator** should consult with the **Statewide Program Office** and the Public Information Officer on how best to handle it. Prepared statements, news releases and or copies of the Accusation and Suspension Order may be necessary. The Accusation is a public document once the temporary suspension order is served.
- **Duplication of Records** - Copy needed documents for transfer (consent forms, emergency information) from each client's file. Prior to service, discuss with the attorney assigned to the case, what should be done if the licensee refuses to allow access to the records.
- **Medication Packaging/Transfer** - Package each resident's medication in individual bags and label each bag. Include Medi-Cal Cards and medication list.
- **Resident Property/Cash Resources** - Determine balances and prepares receipts and money for transfer to a new facility.
- **Interviewer/Photographer** - Obtain declarations and take pictures if needed, particularly of any evidence gathered.
- **Licensing Report** - Only one LIC 809 need be written per visit. The Licensing Program Analyst who will prepare the report prior to leaving the facility should clearly understand what it should contain. Some of the key areas to be documented are as follows:
  - a. Details on service of temporary suspension order (who served, whom accepted, time, resident notification).
  - b. Resident census, other persons present (include temporary suspension order Team/agency personnel).
  - c. Any problems or unusual incidents.

**1-1265 TEMPORARY SUSPENSION ORDER TEAM (Continued)****1-1265**

- d. Any information regarding the needs of residents during the relocation process (meals, medications).
- e. Status of refunds to clients.
- f. Time of departure and resident census.

**1-1270 TEMPORARY SUSPENSION ORDER SERVICE PROCEDURES****1-1270**

In addition to the following procedures, refer to Section 1-1190, Facility Closures: Notification and Client Relocation.

The Legal Division will notify the Licensing Office as soon as the temporary suspension order and Accusation have been signed. Prior to serving the temporary suspension order, the **Regional Office** should ensure that appropriate notifications to outside agencies have been made as specified in Sections 1-1190 and 1-1260. The **Regional Office** should also determine if there is a need for local law enforcement back-up and arrange if appropriate.

**The local Licensing Office shall then:**

1. Receive the temporary suspension order package from the Legal Division. The temporary suspension order package received will contain the following documents:
  - a. Temporary suspension order
  - b. Accusation
  - c. Confidential Name List (if any)
  - d. Notice of Defense (2) copies
  - e. Statement to Respondent
  - f. Government Code Statutes
  - g. Request for Discovery
  - h. Additional instructions and documents concerning Interim Hearing Rights if facility is a community care facility. (I.e. Excluding, residential care facility for the elderly, residential care facility for the chronically ill, child care center and family child care home.
  - i. Proof of Personal Service.

**1-1270      TEMPORARY SUSPENSION ORDER SERVICE PROCEDURES      1-1270**  
(Continued)

2. The **Program Administrator**, **Statewide Program Office** Manager or equivalent county staff shall serve the temporary suspension order in person to the licensee or other person designated in the Licensing Agency file to accept service.
  - a. Give the person served items “a” through “g” or “h” (community care facilities) above, depending on the type of facility.
  - b. Inform the person served of the effective date of the temporary suspension order.
  - c. Upon return to the **Regional Office**, complete and sign the Proof of Personal Service (item “i” above), make a copy for the Licensing Agency file and forward original to the Legal Division.
3. If it is not possible to serve the licensee and there is no other person designated in the Licensing Agency file to accept service or that person cannot be served, call the Legal Division for further instructions on service.
4. Direct questions posed by the respondent following service to the assigned attorney.
5. Document refusals to honor the temporary suspension order and forward to the assigned attorney to determine the best course of action based on case-by-case analysis.
6. For care facilities, post the temporary suspension order Notice (LIC 9031) on the main entrance used by parents dropping off or picking up children in a child care facility.

Upon serving the temporary suspension order the Licensing Program Analyst shall review the Identification and Emergency Information Form LIC 601 for residential care facilities for the elderly and LIC 700 for child care centers or other appropriate records in the facility’s client records to:

1. Obtain the name of each client and his/her authorized representative or parent/guardian to ensure that the facility roster obtained earlier is accurate and that there have been no changes in the client population.

**1-1270 TEMPORARY SUSPENSION ORDER SERVICE PROCEDURES**  
(Continued)**1-1270**

- a. If there are authorized representatives other than the agencies already notified (refer to Sections 1-1190 and 1-1260) who have not been notified, immediately telephone the **Local Unit Manager** at the **Regional Office** or assigned staff and relay those names. For child care facilities, provide list of parents'/guardians' names to the **Local Unit Manager** or assigned staff so that they may contact those persons as appropriate.
2. Determine whether the licensee is the representative payee for any clients' Social Security or Supplemental Security Income/State Supplementary Program payments.
  - a. If the licensee is the representative payee, immediately telephone the local Social Security office and notify them that the designated representative payee is no longer a licensed community care facility operator.

The **Regional Office Manager**, **Program Administrator** or county equivalent shall:

1. Ensure that all authorized representatives are notified at least 24 hours prior to the effective date of the temporary suspension order (for day care facilities, this means parent(s)/guardian(s) of children in care.
  - a. If the facility is large, designate a team of evaluators to ensure notification of all agencies and authorized representatives at least 24 hours prior to the effective date of the temporary suspension order. As noted in Section 1-1190, contacts with known placement agencies and other responsible parties should have occurred during the facility closure planning process.
2. Follow-up all verbal notifications with written notification via certified mail, within 24 hours of the temporary suspension order service (see sample letters in Section 1-1280).
3. Contact the local legislators' offices on the day of service by telephone, followed by a fax of the letter to responsible parties. Forward a copy of the temporary suspension order and Accusation within 24 hours of the day of service. Contacts may also be made with other local elected officials as provided in Section 1-1190.
4. Conduct follow-up visits as necessary, to ensure compliance with temporary suspension order.

**1-1290      LEGAL DIVISION PROCEDURES FOR TEMPORARY  
SUSPENSION ORDERS AND UNLICENSED OPERATIONS****1-1290**

The Community Care Licensing Division and the Legal Division are separate parts of the team who handle administrative actions that can result in the relocation of clients from licensed, or unlicensed care facilities. What follows are the steps carried out by the Legal Division in cooperation with the Licensing Division in such actions.

**1.      TEMPORARY SUSPENSION ORDERS**

The Legal Division Attorney who is assigned a Temporary Suspension Order shall prepare the Accusation, Suspension Order, and all necessary documents consistent with our standard practices. However, the effective date of the Temporary Suspension Order may not be known until the Deputy Director has reviewed the Accusation so the pleading may be routed for approval and review before the effective date is known. Legal Assistants and support staff will assist in the preparation of those materials as necessary under the direction of the attorney. The attorney shall consult with the **Regional Office** and **Statewide Program Office** as is necessary. The attorney shall contact the appropriate Deputy Attorney General to obtain approval and if approved, prepare a circulating memorandum and route the whole package for approval to the Community Care Licensing Deputy Director.

While this process is occurring, the **Regional Office** shall prepare a memorandum to the Deputy Director of the Department for his/her review and for the Deputy Director's notification to the Director and Agency.

During this time, the assigned attorney shall remain available for any questions that may arise throughout the process.

If there is an imminent danger situation, the Department may exercise its discretion to act immediately for the protection of clients. The Legal Division and/or District or **Statewide Program Office** may make that recommendation, but the Director or individual that is designated by the Director, shall have the sole discretion to make the decision.

If the Accusation and Temporary Suspension Order are assigned by the Community Care Licensing Division Deputy Director, then it shall be faxed to the **Regional Office** at once.

**1-1290 LEGAL DIVISION PROCEDURES FOR TEMPORARY  
SUSPENSION ORDERS AND UNLICENSED OPERATIONS**  
(Continued)

**1-1290**

**2. PROPOSED DECISIONS REQUIRING CLOSURE**

This procedure applies where a facility will be closed if the Deputy Director adopts a proposed Decision and Order revoking a license or denying the application of an operating facility. This procedure does not apply where the license has already been suspended and there are no clients in care and nor does this procedure apply to exclusion actions.

A proposed decision received from the Office of Administrative Hearings that will result in the closure of the facility shall be handled in the following manner:

- A. **Receipt of Proposed Decision Revoking Suspended License:** The attorney should insure that the Regional Office is notified by telephone when the proposed decision is received, regardless of the recommendation decision.

If a proposed decision revokes the license, the Order adopting the decision shall be effective immediately. The proposed Decision and Order shall be served on the respondent and the Regional Office by mail.

If a proposed decision does not revoke the suspended license, the procedures for reviewing and recommending adoption or alternation shall be followed.

- B. **Notification to Regional Office:** The case attorney shall be primarily responsible for immediately notifying the **Regional Manager** of the proposed decision. If the case attorney is not available, the secretary assigned to that attorney shall notify the **Regional Manager** immediately.

In order to insure that the greatest possible time is given to the Regional Offices, the contact shall be by telephone. If the **Regional Manager** is not present, the notifying party shall contact the individual who is acting in the **Regional Manager**'s place and complete the notification.

If a voice-mail recorder is obtained, the notifying party shall contact the receptionist and request that the **Regional Manager** or other designated individual return the call as soon as possible to insure that notification is completed and to guard against missed or garbled messages.



**1-1290      LEGAL DIVISION PROCEDURES FOR TEMPORARY  
SUSPENSION ORDERS AND UNLICENSED OPERATIONS**  
(Continued)

**1-1290**

Once the Regional Office is informed of the proposed decision, it will determine if the facility is still operating and obtain a current roster of clients. If placement agencies or referral agencies are contacted, they should be notified that a proposed decision has been issued by an Administrative Law Judge and that the Department has not adopted that decision. The agencies should be notified that the Department may adopt the decision, thus that would necessitate client relocation.

- C. **Order Revoking License:** If the Deputy Director adopts a decision which results in the closure of a facility, the support staff will type in the effective date of the decision on the Order consistent with the memorandum. In most cases, the Order will be effective ten days from the date of service of the Decision and Order to the Respondent. That ten-day delayed effective date is to assist in the orderly notification and transfer of clients.

**Stay of Execution of Order Revoking:** If the Department wishes to provide a longer period of time, Deputy Director of the Department may stay the date of execution, following the adoption of the decision, by use of §11519(b) of the Administrative Procedures Act. Under this provision, the Department may stay the execution of the Order, which will have already been executed and served. The communication to the Deputy Director recommending a stay shall be in writing, explaining why the effective date of the Decision and Order should be stayed in order to permit the licensee to operate for a longer period of time. The memorandum must be provided to respondent or respondent's attorney if represented, along with a copy of the proposed decision.

**Shortened Effective Date:** If the Department wishes to shorten the time period for the protection of clients, the Community Care Licensing Division and attorney shall confer and make a recommendation as to the effective date of the order to the Community Care Licensing Division Deputy Director before the Decision and Order is executed. If the Community Care Licensing Division Deputy Director agrees to the date, the attorney shall make written notification to the Respondent's representative and send the same notice to the Deputy Director who is responsible for adopting the decision. The Regional Office may initiate this request to the Legal Division, but any change in the time period must be approved by the Deputy Director.

**1-1290      LEGAL DIVISION PROCEDURES FOR TEMPORARY  
SUSPENSION ORDERS AND UNLICENSED OPERATIONS**  
(Continued)

**1-1290**

This procedure is necessary to prevent any type of ex-parte communication as required by the Administrative Procedures Act.

**3.      PROPOSED DECISION WITH STAYED REVOCATION/PROBATION**

Upon receipt of a proposed decision that does not require closure of a facility, the assigned case attorney, or in his/her absence, the support staff assigned to that attorney shall contact the Regional Office as soon as possible and notify the **Regional Manager** or individual acting on his/her behalf.

The case attorney and **Regional Manager** shall discuss any issues with the case, including possible alteration of the decision. If the Department determines that the decision is appropriate for adoption, the decision will be submitted for adoption and no notification regarding relocation would be necessary. In this case, the Order adopting the decision resulting in probation shall be effective ten days after service.

If the proposed action is submitted for alternating, no notification to outside agencies shall occur until the proposed decision is adopted or alternated. In an alternate decision results in revocation, the procedures for a decision resulting in closure, above, shall be followed.

**4.      STIPULATIONS**

The effective date of Stipulations shall be agreed upon by the parties, providing for the safety, notification and ease of relocation of clients. There shall be no effective date on Stipulations immediately above the Deputy Director's signature block, but the effective date shall be addressed in the body of the agreement. The attorney shall confer with the Community Care Licensing Division to insure that a settlement which result in clients being relocated (or in the case of day care, result in families locating alternative care) is consistent with the Department and Agency's policies with regard to closing facilities. Upon the signing of the Stipulation by the Respondent, the attorney shall notify the Regional Office. The Regional Office may contact other agencies and inform them that a proposed Stipulation has been signed and is pending adoption. The attorney will then sign the Stipulation and route it for review and approval by the Assistant Chief Counsel, the Community Care Licensing Division Deputy Director and the Legal Division Deputy Director in the usual course of business.

**1-1290    LEGAL DIVISION PROCEDURES FOR TEMPORARY  
SUSPENSION ORDERS AND UNLICENSED OPERATIONS**  
(Continued)

**1-1290**

Upon adoption of the Stipulation that results in probation, the Department shall re-issue a probationary license to the facility. The licensee will then be required to post the probationary license, which will indicate that the license is subject to terms and conditions of probation.

If an application is submitted, and subsequently denied, and the facility continues to operate, a second Notice of Violation shall be issued and civil penalties assessed. The District or Statewide Program Office shall then contact an Assistant Chief Counsel as soon as the second Notice of Violation is issued. The option of criminal referral, injunctive relief, or any other appropriate remedies will be discussed.

If a decision is made to pursue injunctive relief, an attorney will be assigned the case to prepare declarations and cover memorandum to the Attorney General's Office. In many cases, an attorney will be assigned before a Statement of Facts is received by the Legal Division. Once the material is submitted to the Attorney General's Office, the case attorney may have to prepare additional documents at the request of the Attorney General's Office and assist in the preparation and any presentation in court.

During the process, the **Regional** Office or **Program** Investigator will be attempting to obtain information as to names of clients and their relatives. Once that is done, the Regional Office will send notification to clients and when appropriate relatives, informing them of the unlicensed operation and what potential remedies may be pursued. This notice will include the potential of clients/residents having to be relocated.

In any event, the decision to assist any other agency in the removal and placement of clients shall be with the Director.

If no injunction is issued or if one has been issued but the case has been closed, a memo will be prepared and routed to the Attorney's Supervisor, the Assistant Chief Counsel, and the Deputy Director of the Community Care Licensing Division.

**1-1300 EXPEDITED ACCUSATION****1-1300**

An expedited Accusation can be requested when a serious situation exists at a facility that does not constitute an immediate health or safety risk as defined in Section 1-1205 NECESSITY FOR A TEMPORARY SUSPENSION ORDER or Section 1-1415 IMMEDIATE EXCLUSION ORDERS PRIOR TO HEARING, but requires quick action by the Department.

When an expedited Accusation is requested, the legal office acts quickly to have the case assigned and the pleading drafted and served. The hearing will be scheduled within 90 days of the receipt of the notice of defense. The facility remains open and in operation throughout the process, unlike a temporary suspension order where the hearing is scheduled within 30 days of the notice of defense and the facility is closed immediately pending the hearing. Likewise, if the expedited Accusation concerns action to exclude an employee or non-client resident for licensed facilities, the employee or non-client resident may remain in the facility through the process unless the Department issues an Immediate Exclusion Order.

The determination of whether to recommend an expedited Accusation rather than a temporary suspension order or Immediate Employee or non-client Resident Exclusion Order is made on a case by case basis. Consider the following factors:

1. Were the clients in immediate risk, but now may not be due to safety measures taken by the licensee? Is the ability of the licensee to maintain these measures unknown or questionable?
2. Does the licensee have a non-compliance history? Has the licensee indicated an unwillingness or inability to comply? Is it likely that this will create a risk to clients in care?
3. If an employee or resident is excluded prior to hearing, is it possible that the excluded family member or employee may return to the facility? Is it likely that this excluded person will create a risk to clients in care?
4. Is there a history or likelihood that new clients will be placed in the facility (even though no clients are currently in care)? Is it likely that this situation will create a risk to the new clients?
5. Will the alleged perpetrator, who is currently in custody, be released soon?
6. Can a workable plan be developed to allow the facility to remain open pending the hearing?
7. Would further investigation produce additional evidence for a temporary suspension order?

**1-1300 EXPEDITED ACCUSATION (Continued)****1-1300**

If the decision is made to request an expedited Accusation, then the Licensing Program Analyst/County Worker should:

1. Monitor the facility closely.
2. Continue to assess for legal action, including possible upgrade to a temporary suspension order.

**1-1400 NON-LICENSEE ADMINISTRATIVE ACTIONS****1-1400**

Most administrative actions are either actions to revoke an existing facility license or to deny an application for an initial facility license. However, in some cases the Licensing Agency must act directly against an individual connected with a facility, instead of against the licensee or license application. The individuals may be employees or prospective employees of a facility, certified family home parents of a Foster Family Agency or persons other than clients living in a licensed facility.

Administrative actions taken against these individuals are called exclusion actions. Actions against employees and prospective employees are called “Employee Exclusions.”

All persons whom the Department seeks to have excluded from a licensed facility have the right to notice of the exclusion action and to an Administrative Hearing before the Exclusion Order is effective, except where exclusion is ordered prior to hearing (refer to Section 1-1415). The right to notice and a hearing stems from constitutional principles of due process that apply to government actions against an individual, and is specifically required by statute for employees, prospective employees, or persons excluded because of their crimes.

The hearing that the Department provides is conducted according to the rules in the Administrative Procedures Act. The Legal Division will prepare the case for hearing and represent the Department at the hearing before an Administrative Law Judge from the Office of Administrative Hearings. This is the same procedure provided for licensees when the Department wishes to revoke a license or deny an initial application.

The following sections will discuss the different types of non-licensee administrative actions: Employee Actions (Section 1-1410), Immediate Exclusion Employee Actions (Section 1-1415), Exclusions “For the Record” (Section 1-1417), Certified Family Home Actions (Section 1-1430) and Actions Concerning other Persons in Facility. (Section 1-1450)

Further details regarding any of the actions described in these sections should be discussed with the Legal Division consultant assigned to the **Regional Office**. A list of the attorney consultants for each office is located on the Department of Social Services internal Web Page for the Legal Division.

**1-1410 EMPLOYEE ACTIONS****1-1410**

At times a problem with a facility is actually a problem with a particular employee or employees or persons having client contact. In such cases, the Department may prohibit a licensee from: Employing an individual, continuing the individual's employment, allowing the individual in the facility, or allowing the individual contact with clients in the facility. The Licensing Agency can take these actions against an employee or prospective employee or other persons based upon any of the grounds, which would be the basis to revoke a facility's license. These actions also are initiated and resolved in the same way that the Department takes action against a licensee – by filing an Accusation and conducting an Administrative Hearing for those who appeal.

Employee actions by the Licensing Agency are controlled by statute; Health and Safety Code Sections 1558 community care facility, 1568.066 residential care facility for the chronically ill, 1569.58 residential care facility for the elderly and 1596.8897 child day care. These statutes specify the employee's right to notice and an opportunity for a hearing from the Licensing Agency.

A facility has a right to notice and an opportunity for a hearing before the Department orders the person excluded from the facility or barred from client contact, unless the Department serves an immediate Exclusion Order against the person before it files an Accusation against the person (See Section 1-1415). Specifically, notice must be served on the employee and licensee either personally or by certified mail.

The determination of whether to exclude a person from licensed facilities prior to a hearing is made on a case by case basis. Generally, the person should be excluded from the facility prior to hearing by issuance of a pre-hearing Exclusion Order (See Section 1-1420 for examples). Instances where pre-hearing Exclusion Orders may not be necessary are:

1. The facility where the employee worked most recently already has fired the employee, and it appears that the employee is unlikely to be hired at another facility in the near future (having left the State for example). The purpose for referring the case to the Legal Division is to create an administrative record that would be used to preclude the employee from seeking other employment in other licensed facilities (See Exclusions "For The Record" Section 1-1417).
2. The employee is in jail and will not be released soon.
3. The employee or person is the spouse of the licensee and resides in the licensed facility. In these instances, a temporary suspension order recommendation may be warranted, and the **Regional Office** would refer the case to the Legal Division for a combined action against the licensee and the person. The Accusation would seek the exclusion of the person from all licensed facilities as well as the revocation to the spouse's license.

**1-1410 EMPLOYEE ACTIONS (Continued)****1-1410**

4. The misconduct by the person is relatively minor or did not occur at a licensed facility. Often, this kind of case involves “arrest information” or Child Abuse Index information that is unknown to the licensee. Due to confidentiality restrictions, the Department cannot informally tell the licensee about this information.

**Examples of these kinds of “arrest information” situations might include:**

- a. A residential care facility for the elderly administrator, whose work performance at the facility appears to be problem free, has a history of repeated, mutual spousal abuse with his/her spouse, outside of the facility.
- b. A child care center maintenance man whose work performance at the facility appears to be problem free, has a history of excessive drinking after work.
- c. A group home care provider whose work performance at the facility appears to be problem free, has a history of shoplifting and minor drug-related arrests as a juvenile.

In these instances the **Regional Office** may believe that the person would not pose a risk of harm to clients if certain restrictions were placed on the employee or the licensee, but that the licensee is unaware of the need for these restrictions because of the information regarding the employee’s misconduct is confidential. The **Regional Office** may wish to refer this matter to the **Statewide Program Office** for filing of an Accusation but without first issuing a pre-hearing Exclusion Order. The Accusation would make this confidential information public, and the Department then should enter into a settlement with the employee to limit the duties of the employee, to require the employee to obtain training or education, or to require close supervision of the employee by another facility staff. The exclusion of the employee prior to the filing of the Accusation and settlement of the case may be counter productive to effective settlement because the employee may not be able to return to his/her former position at the facility, having been replaced by the licensee during the pendency of filing of the Accusation and the settlement negotiations.

**1-1410 EMPLOYEE ACTIONS (Continued)****1-1410**

When investigating whether an exclusion action or order should be taken against a person, licensing staff must ensure that confidential information is not provided to the licensee which may be used as the basis for the licensee excluding a person from employment or presence in the facility. If the exclusion action is based on a criminal record conviction, the person under investigation may, however, be shown his or her own rap sheet in the local Licensing Office in order to address the convictions if seeking an exemption or to contact the appropriate authorities regarding his or her criminal record.

When a person contacts a State **Regional Office** requesting to see his/her rap sheet, the Licensing Program Analyst must get his/her full name, birth date, social security number and other identifying information so that the Caregiver Background Check Bureau can send the correct rap sheet to the **Regional Office**. The person must show photo identification immediately before viewing the rap sheet to prove he or she is the person on the rap sheet.

The Caregiver Background Check Bureau makes employee criminal record exemption denials but the **Regional Office** may also deny an application or revoke a license because of such denials. The right to appeal a denial or revocation of a license is separate from the right to appeal a denial of a criminal record exemption.

Unless the Licensing Agency specifies otherwise, the individual, who is the subject of an exclusion action, may remain employed by or be present in the facility until the appeal process is completed. Refer to Section 1-1415 for details on Immediate Employee Exclusion Order Prior to Hearing.

**1-1415 IMMEDIATE EXCLUSION ORDERS PRIOR TO HEARING****1-1415**

The statutes concerning employee actions allow the Licensing Agency to require the immediate exclusion of an employee, prospective employee or any person who is not a client from a facility prior to serving an Accusation or completing an Administrative Hearing. This immediate Exclusion Order remains in effect pending the outcome of any appeal requested by the individual. An immediate Exclusion Order prior to hearing is a temporary order. If the person does not appeal the immediate Exclusion Order, the order becomes permanent. If the immediate Exclusion Order is appealed, it lasts only until a decision is adopted following a hearing on the Accusation.

The Department or the Licensing Agency may order an immediate exclusion of an employee or person who is not a client if the action is necessary to protect residents or clients from physical or mental abuse, abandonment, or any other substantial threat to their health or safety, the same grounds that warrant the issuance of a temporary suspension order against a license before a hearing.



**1-1415 IMMEDIATE EXCLUSION ORDERS PRIOR TO HEARING**  
(Continued)**1-1415**

In addition, statutes concerning criminal records (Health and Safety Code Sections 1522, 1568.09, 1569.17 and 1596.871) specify that if a person has certain specified criminal convictions, the Licensing Agency must notify the licensee to act immediately to terminate the individual's employment, remove the person from the facility, or bar the person from entering the facility. When the Licensing Agency gives this notification concerning any person to a facility it is legally the same as any other order of immediate exclusion against the person. The expedited hearing requirements of the exclusion sections are not triggered when Caregiver Background Check Bureau orders a person out of the facility during the exemption process.

It is only after the Caregiver Background Check Bureau denies the person a criminal record exemption that the expedited hearing requirements apply.

Generally, an order for removal of a person from a facility prior to any hearing should be made only if the act committed by the person would be cause for a temporary suspension order if the person were not removed from the facility. Immediate Exclusion Orders have a serious impact on the person's career, income, and family. Any order for immediate removal of a person prior to any hearing must be reviewed and approved by the Legal Division.

If you are reading this section because you have an employee problem or a problem with a person who has client contact and are wondering whether an Immediate Exclusion Order prior to hearing is appropriate, discuss the case with your **Local Unit Manager**. Factors to be considered in assessing whether an immediate substantial health and safety risk exists include those factors to be considered when the necessity of a temporary suspension order is being examined (See Section 1-1205, Necessity for a temporary suspension order, to review the criteria for establishing cause for a temporary suspension order).

While an exclusion ameliorated the situation, it does not necessarily remove the need to initiate a license revocation.

If the Licensing Agency requires the immediate exclusion of an employee or prospective employee or person who is not a client from a facility prior to any hearing, the agency must serve an order of immediate exclusion upon the individual which notifies the individual of the basis of the agency's action and of the individual's right to appeal the order. This order must be served on the person personally or by certified mail. A written notice of the order also must be served on the facility and the licensee personally or by certified mail.

**1-1415 IMMEDIATE EXCLUSION ORDERS PRIOR TO HEARING****1-1415**

(Continued)

If the individual makes a timely appeal of the order, he/she will be served an Accusation within 30 days of his/her appeal time schedule, as required by statute. To be timely, the employee's appeal of the order must be submitted within 15 days of the date that the notice was served on the employee.

Depending on the nature of the immediate exclusion, the Exclusion Order will be sent by either the **Regional Office** or the Caregiver Background Check Bureau. If the exclusion is based on a specified criminal conviction, the exclusion process will be handled by the Caregiver Background Check Bureau. In all other cases, including investigations by the **Regional Office** of complaints, arrests, child abuse index check or Child Protective Services information, or adult or elderly abuse reports resulting in the need to exclude an employee or prospective employee or person who is not a client from a facility, prior to any hearing, the **Regional Office** is responsible, in consultation with the Legal Division, for investigating and resolving the issue(s) and notifying the appropriate parties of the results, requirements and appeal rights.

The following procedures discussed in this section are specifically for the **Regional Offices**. Any case specific questions regarding immediate exclusions handled by the Caregiver Background Check Bureau should be directed to the Caregiver Background Check Bureau. (See evaluator manual Section 1-1010, ADMINISTRATIVE ACTION OPTIONS).

During the investigation, the Licensing Program Analyst must not request, recommend or suggest that the licensee remove the employee or person from contact with clients, even by telling the licensee to put the employee or person on desk duty. If, after a completed investigation, an immediate pre-hearing Exclusion Order is warranted and approved, the **Regional Office** is to verbally inform the licensee of the exclusion decision and then send the licensee, by certified mail, an order of immediate exclusion prior to any hearing. The Licensing Program Analyst should not ask or tell the licensee to fire the employee. The **Regional Office** must also send the excluded individual, by certified mail, an order of immediate exclusion prior to hearing. Sample Exclusion Orders for both the licensee and the excluded individuals can be found in Section 1-1420.

The Licensing Office is responsible for monitoring the licensee to ensure that the licensee complies with the exclusion order. The Licensing Program Analyst must verify at the next evaluation visit (annual, complaint, post licensing, or case management visit) that the licensee is complying with the exclusion order.

Statute requires that parents be notified when someone has been excluded from a Family Child Care Home. The Licensing Program Analyst must verify at the next evaluation visit (i.e. tri-annual, annual, complaint, post licensing or case management visit) that the licensee has notified the parents that an individual has been excluded. In addition, the Licensing Program Analyst must verify that original parent signatures are on the Addendum to Exclude form (LIC. 995B).

**1-1415 IMMEDIATE EXCLUSION ORDERS PRIOR TO HEARING**  
(Continued)**1-1415**

An excluded person has 15 calendar days to appeal an excluded person appeal the Exclusion Order. Should an excluded person appeal the Exclusion Order, the appeal will be mailed directly to the **Statewide Program Office**. Make sure when completing the Exclusion Orders that the appropriate **Statewide Program Office** address is included for appeal purposes.

Upon receipt of the appeal, the **Statewide Program Office** will call the **Regional Office** and FAX a copy of the appeal to the **Regional Office** with a request for a Statement of Facts. The **Regional Office** will send by FAX the Statement of Facts package to the **Statewide Program Office** and the **Statewide Program Office** will send the package by FAX or overnight mail to the Legal Division, all within five working days of the receipt of the appeal. The **Statewide Program Office** will also send an “Acknowledgment” letter to the appellant. A sample Acknowledgment Letter can be found in Section 1-1425.

The Legal Division will prepare and arrange service of the Accusation which must be served within 30 days from receipt of the appeal. Within 60 days of receipt of a notice of defense, the Department shall conduct a hearing on the Accusation. When the hearing is held, the standard of proof shall be the preponderance of evidence and the burden of proof shall be on the Department. The Department shall issue a final decision within 60 days of the hearing. If a final decision is not made within 60 days, the pre-hearing Exclusion Order expires and the excluded person may have contact with clients pending a final decision excluding the person. The Department’s final decision, however, still may order the person’s exclusion from licensed facilities.

If the Department’s final order does exclude the person from licensed facilities, that order remains in effect until the person petitions the Department for modification of the order (which is permitted any time after one year has passed) (and that petition is granted by the Department. Remember that a pre-hearing Exclusion Order that is not appealed by an employee constitutes a “final order” to the same extent as an order that is issued after an appeal and a hearing.

The Licensing Office is responsible for monitoring the licensee to ensure that the licensee complies with the exclusion order. The Licensing Program Analyst must verify at the next evaluation visit (annual, complaint, post licensing, or case management visit) that the licensee is complying with the exclusion order.

Statute requires that parents be notified when someone has been excluded from a Family Child Care Home. The Licensing Program Analyst must verify at the next evaluation visit (i.e. tri-annual, annual, complaint, post licensing or case management visit) that the licensee has notified the parents that an individual has been excluded. In addition, the Licensing Program Analyst must verify that original parent signatures are on the Addendum to Exclude form (LIC. 995B).

**1-1415 IMMEDIATE EXCLUSION ORDERS PRIOR TO HEARING**  
(Continued)**1-1415**

If the excluded person subsequently seeks or obtains employment at another licensed facility, another Exclusion Notice should be served immediately on the excluded person, the facility, and the licensee. This notice, however, should refer to the Department's existing Exclusion Order and need not contain any references to appeal rights. Contact the attorney consultant or Assistant Chief Counsel for our office for specific information regarding the content of this kind of Exclusion Notice.

**1-1417 EXCLUSIONS "FOR THE RECORD"****1-1417**

In some situations, as noted below, the Department may wish to file formal allegations against the employee or other person who is not a client, and if necessary, conduct a hearing for the purpose of creating a record of the person's misconduct. If the person is no longer employed, present, or residing at the facility, and a pre-hearing Exclusion Order appears to be unnecessary or the pre-hearing Exclusion Order was served but not appealed by the excluded person, the case still may be appropriate for the filing of an Accusation seeking the person's exclusion "for the record." Cases where this would be appropriate are similar to cases where revocation of a license "for the record" are appropriate – namely, serious violations of the licensing statutes or regulations or other serious misconduct. Examples might include:

- a. An employee is arrested for client abuse and is awaiting trial in jail.
- b. An employee was fired for abusing a client and left the State.
- c. The facility now is closed but the employee was responsible for many of the violations.
- d. The person was served with a prehearing Exclusion Order but did not file an appeal. In these instances, no information about the exclusion will be recorded on the person's rap sheet unless the Department also files an Accusation against the person and obtains a Formal Exclusion Order issued by the Department. Prehearing Exclusion Orders are not the kind of "due process" required by the Department of Justice before information about action by the Department against the person can be placed on the person's rap sheet.

In cases that are referred for exclusion "for the record" the **Regional Office** prepares the Statement of Facts and supporting information in the same manner as a referral for revocation "for the record." Because an immediate Exclusion Order either was not served on the person or, if served, was not appealed, the expedited time frames for serving an Accusation and conducting the hearing do not apply. The Legal Division will give the case the same priority as it does to revocation "for the record."

## 1-1420 SAMPLE IMMEDIATE EXCLUSION ORDERS

1-1420

STATE OF CALIFORNIA - HEALTH AND HUMAN SERVICES AGENCY

GRAY DAVIS, Governor

DEPARTMENT OF SOCIAL SERVICES  
744 P Street, M.S. \_\_\_\_\_, Sacramento, CA 95814

**Certified****ORDER TO INDIVIDUAL OF IMMEDIATE EXCLUSION FROM ALL FACILITIES**

Date:

To: Name of Employee  
Address  
City/State/Zip

As a result of an investigation by the California Department of Social Services, a complaint of \_\_\_\_\_ has been substantiated against you.

The Department has determined that your continued or future contact with clients or presence in any child care center or residential facility licensed by the California Department of Social Services constitutes a threat to the health and safety of the clients in care. Therefore, you must immediately, upon receipt of this notice, remove yourself from any contact with clients and not be physically present in any facility. This action is final unless you are notified otherwise, in writing, by this Licensing Office.

If you wish to appeal this decision by the Department, you must do so in writing to:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Attn: Employee Exclusion Hearing

The appeal must be mailed within 15 days of the date that this letter was served upon or given to you. Your request must include your current mailing address and a copy of this letter. You will receive an acknowledgment of the request from the Department. You must also notify the Department, in writing, at the address listed above of any subsequent change in your mailing address until the hearing process has been completed or terminated.

**1-1420 SAMPLE IMMEDIATE EXCLUSION ORDERS (Continued)****1-1420**

If you fail to appeal this Exclusion Order, or you do appeal and the Department prevails after filing a formal action, you are excluded from all facilities licensed by the Department. You may petition for reinstatement to the Department one year after the effective date of the Exclusion Order pursuant to Government Code Section 11522, which is attached.

You must remain out of, and not have contact with clients in, any child care facility, community care facility or residential care facility for the elderly or Chronically Ill until a final decision is made in the matter by the Department.

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(Signature)

**Regional Office** or County Licensing Manager

c: Licensee

**\* THIS LETTER IS AVAILABLE IN THE COMMON LIBRARY.**

**1-1420 SAMPLE IMMEDIATE EXCLUSION ORDERS (Continued)****1-1420****ATTACHMENT**

**GOVERNMENT CODE 11522.** A person whose license has been revoked or suspended may petition the agency for reinstatement or reduction of penalty after a period of not less than one year has elapsed from the effective date of the decision or from the date of the denial of a similar petition. The agency shall give notice to the Attorney General of the filing of the petition and the Attorney General and the petitioner shall be afforded an opportunity to present either oral or written argument before the agency itself. The agency itself shall decide the petition, and the decision shall include the reasons therefor, and any terms and conditions that the agency reasonably deems appropriate to impose as a condition of reinstatement. This section shall not apply if the statutes dealing with the particular agency contain different provisions for reinstatement or reduction of penalty.

**1-1420 SAMPLE IMMEDIATE EXCLUSION ORDERS (Continued)****1-1420**

STATE OF CALIFORNIA - HEALTH AND HUMAN SERVICES AGENCY

GRAY DAVIS, Governor

DEPARTMENT OF SOCIAL SERVICES

744 P Street, M.S. \_\_\_\_\_, Sacramento, CA 95814

**Certified****ORDER TO LICENSEE/FACILITY OF IMMEDIATE EXCLUSION FROM FACILITY**

Date:

To: Licensee  
Facility Name & Number  
Address  
City/State/Zip

As a result of an investigation by the California Department of Social Services, a complaint of \_\_\_\_\_ has been substantiated against your employee, prospective employee, or other person who has contact with clients \_\_\_\_\_.

The Department has determined that the continued or future contact with clients or presence of this person in your facility constitutes a threat to the health and safety of the clients in care. Therefore, the Department orders you to remove [EMPLOYEE NAME] from any contact with clients and not allow this employee to be physically present in the facility. If you fail or refuse to comply with this order, your license to operate a \_\_\_\_\_ may be suspended or revoked under Health and Safety Code Section 1550; community care facility, 1568.082; residential care facility for the chronically ill, 1569.50; residential care facility for the elderly or 1596.885; child day care.

If the above mentioned person wishes to appeal regarding this decision, he/she may appeal in writing by addressing a request to:

\_\_\_\_\_  
\_\_\_\_\_

Attn.: Employee Exclusion Hearing

The excluded person's appeal must be mailed within 15 days of the date the Exclusion Notice was served. The excluded person's request must include his or her current mailing address and a copy of the notice. The excluded person will receive an acknowledgement of the request from the Department. The excluded person must also notify the Department in writing, at the address listed above, of any subsequent change in his or her mailing address until the hearing process has been completed or terminated.



**1-1420 SAMPLE IMMEDIATE EXCLUSION ORDERS (Continued)****1-1420**

If the excluded person fails to file a timely appeal of this order or does appeal and the Department prevails after filing a formal action, he/she is excluded from all facilities licensed by the Department. The excluded person may petition for reinstatement to the Department one year after the effective date of the Exclusion Order pursuant to Government Code Section 11522, which is attached.

\_\_\_\_\_ **must remain out of and not have contact with clients in your and any facility until a final decision is made in the matter by the Department.**

(Signature)

**Regional Office** or County Licensing Manager

Attachment: Government Code 11522

c: Employee

**\* THIS LETTER IS AVAILABLE IN THE COMMON LIBRARY.**

**1-1420 SAMPLE IMMEDIATE EXCLUSION ORDERS (Continued)****1-1420****ATTACHMENT**

**GOVERNMENT CODE 11522** A person whose license has been revoked or suspended may petition the agency for reinstatement or reduction of penalty after a period of not less than one year has elapsed from the effective date of the decision or from the date of the denial of a similar petition. The agency shall give notice to the Attorney General of the filing of the petition and the Attorney General and the petitioner shall be afforded an opportunity to present either oral or written argument before the agency itself. The agency itself shall decide the petition, and the decision shall include the reasons therefor, and any terms and conditions that the agency reasonably deems appropriate to impose as a condition of reinstatement. This section shall not apply if the statutes dealing with the particular agency contain different provisions for reinstatement or reduction of penalty.

**1-1420 SAMPLE IMMEDIATE EXCLUSION ORDERS (Continued)****1-1420**

STATE OF CALIFORNIA - HEALTH AND HUMAN SERVICES AGENCY

GRAY DAVIS, Governor

DEPARTMENT OF SOCIAL SERVICES

744 P Street, M.S. \_\_\_\_\_, Sacramento, CA 95814

**Certified****ORDER TO DENY/REVOKE CERTIFICATE OF APPROVAL**

Date:

To: Foster Family Agency Licensee  
Address  
City/State/Zip

Subject: Certified Family Home/Applicant  
Address  
City, State and Zip

As a result of an investigation by the California Department of Social Services concerning \_\_\_\_\_ the Department has determined that the continued or future use of the \_\_\_\_\_ certified family home constitutes a threat to the health and safety of clients in care. Pursuant to Health and Safety Code 1534(b), the Department orders your Foster Family Agency to (deny a) (revoke the) certificate of approval to [CERTIFIED FAMILY HOME NAME] to operate a certified family home. If children have been placed in the home, they must be removed and any affected placement agencies must be informed of this order.

If you fail or refuse to comply with this order, your license to operate a Foster Family Agency may be revoked under Health and Safety Code Section 1534(b)(9).

If the above mentioned individual(s) wishes to appeal this decision by the Department, they may do so in writing by addressing a request to:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Attn: Certified Home Action

**1-1420 SAMPLE IMMEDIATE EXCLUSION ORDERS (Continued)****1-1420**

The appeal must be mailed within 15 days of the date that this order was served. The request by the individual(s) must include their current mailing address and a copy of this notice. The individual(s) will receive an acknowledgement of the request from the Department. The individual(s) must also notify the Department in writing, at the address listed above, of any subsequent change in their mailing address until the hearing process has been completed or terminated.

---

(Signature)

Program Administrator

c: Certified family home/applicant

**\* THIS LETTER IS AVAILABLE IN THE COMMON LIBRARY**

**1-1425 SAMPLE ACKNOWLEDGEMENT OF APPEAL****1-1425**

STATE OF CALIFORNIA - HEALTH AND HUMAN SERVICES AGENCY  
DAVIS, Governor

GRAY



DEPARTMENT OF SOCIAL SERVICES  
744 P Street, M.S. \_\_\_\_\_, Sacramento, CA 95814

**ACKNOWLEDGEMENT OF APPEAL  
OF IMMEDIATE EXCLUSION ORDER**

Date:

To: Name of Excluded Person  
Name of Facility where Formerly Associated  
Excluded Individual's Home Address  
City/State/Zip Code

This office has received your appeal of the Department's action which resulted in your immediate exclusion from facilities licensed by the California Department of Social Services and/or from the clients of those facilities.

You will be receiving further communications from our legal office concerning your appeal.

Remember that you may not have contact with clients or be present in any facility licensed by the California Department of Social Services pending this appeal.

---

(Signature)

Program Administrator

c: Regional Manager or County Equivalent

**\* THIS LETTER IS AVAILABLE IN THE COMMON LIBRARY.**

**1-1430 CERTIFIED FAMILY HOME ACTIONS****1-1430**

Certified family homes of Foster Family Agencies are not, of themselves, licensees. They are part of an entity which is a licensee, their Foster Family Agency. Thus, the Licensing Agency does not directly regulate certified family homes. However, the Licensing Agency may inspect the homes and, under Health and Safety Code Section 1534 (b), may require a Foster Family Agency to deny or revoke certification of a family home if the home is not in compliance with licensing requirements.

A certified family home does not have a right to a hearing from the Licensing Agency if the Foster Family Agency acts on its own initiative to deny certification to a family home, or to revoke a family home's certification. However, Health and Safety Code Section 1534(b) provides that the family home shall be afforded the due process provided by the Community Care Facility Act if the Licensing Agency requires the Foster Family Agency revoke the home's certification. This means that the certified home is entitled to a hearing upon a written request when the Licensing Agency requires the Foster Family Agency to revoke the home's certification. A sample Foster Family Agency Exclusion Order can be found in Section 1-1420. The Exclusion Order must be sent to both the Foster Family Agency and the certified family home.

In addition, if a member of the certified family home is a licensee (of another facility type, i.e., family child care homes), or is an employee in a licensed facility, a temporary suspension order or Exclusion Order should be considered. (For temporary suspension order see Sections 1-1010, 1-1205, 1-1210, 1-1215) (For exclusion see Sections 1-1400, 1410, 1417, and 1450).

**1-1450 ACTIONS CONCERNING OTHER PERSONS IN FACILITY****1-1450**

A Licensing Agency may, at times, require that a licensee remove or exclude an adult other than an employee from the facility. This type of action will usually occur when the facility is the licensee's own home, such as a Small Family Home, foster family home or family child care homes, and the person who committed or is responsible for the misconduct that has harmed clients or puts them in risk of future harm resides in or has access to the home. The basis for the Licensing Agency's action might be the person's criminal record, or some other conduct by the person, which poses a danger to clients of the facility.

All decisions to order a licensee to exclude members of the licensee's family from a facility that is his/her home are done on a case by case basis. Ordinarily, the Department refrains from ordering a licensee to exclude his/her spouse or minor child from a facility that is the spouse's or child's home. Instead, the Department usually will order that the license be suspended prior to hearing, and will spare the licensee from having to decide whether to obey an order to exclude his/her spouse or child or to face suspension of the license for not doing so. Other relatives or non-relatives of the licensee, however, are not viewed by the Department as having the same right to association with the licensee.

**1-1450 ACTIONS CONCERNING OTHER PERSONS IN FACILITY**  
(Continued)**1-1450**

For these more distant relatives and non-relatives, the Department will give the licensee the choice between obeying an order to exclude the person or having his/her license suspended and possibly revoked for not excluding the person.

As is the case with employee actions or certified family home actions, the person who is excluded from the facility by the licensee does not have a right to a State hearing if the exclusion is on the licensee's initiative. However, where the licensee acts to exclude the person only on the directive of the Licensing Agency, the person excluded may have a right to a "due process" hearing. Unlike the case with employee actions and certified family home actions, actions against other persons living in, or present in, the facility are not covered by specific statutes. Nonetheless, principles of constitutional due process may entitle a person to an appeal hearing if they are excluded from the facility by State directive, particularly if the facility is their current residence. Consult the Legal Division for any questions regarding the procedures to follow when the exclusion of a non-employee individual from a facility seems appropriate. Always consult the Legal Division if consideration is being given to excluding a person from their home.

**1-1600 SUBPOENAS****1-1600**

A subpoena is a written order usually commanding a person to appear at a particular time and place. A subpoena duces tecum can also be used to obtain copies of medical records or other documents. The subpoena Form (LIC 967) is to be completed by the Licensing Program Analyst who requires the subpoena.

Subpoenas must be personally served upon the person being commanded to appear or provide records or documents. A subpoena is served by the Licensing Program Analyst, **Program** Investigator or the Legal Division staff.

**General procedures for service are outlined below:**

1. You will be given an original subpoena and a copy. Give the copy to the person being served; do not give her/him the original. Show the original at the time but do not give it to him/her.
2. The face (front page) of the subpoena will be completed before it is given to you. After you serve the copy of the subpoena, complete the "Proof of Service" on the back of the subpoena.
3. Be sure to ask any persons you approach if they are the named persons. If so, tell them that you have some papers for them and then hand the copy to them.

The person named in the subpoena must be the person actually served. Giving the subpoena to another individual, such as the person's spouse or roommate, when the person is not home, is not sufficient.

**1-1600 SUBPOENAS (Continued)****1-1600**

4. If the person asks for the original subpoena, tell him/her that the copy is true and contains all the necessary information.
5. If the person refuses to take the subpoena, or closes the door, simply put the subpoena on the floor, on the doorstep, or slide it under the door. These actions complete the service.
6. Remember to not argue with the person.
7. Complete the Proof of Service immediately after serving the person and forward it with the original subpoena directly to the Legal Division as soon as possible.

If there are any complications or questions, contact your **Local Unit Manager** or legal consultant.

**1-1700 KEYS AMENDMENT AFFECTING SUPPLEMENTAL SECURITY INCOME/STATE SUPPLEMENTARY PROGRAM RECIPIENTS 1-1700**

The California Department of Social Services has certified to the United States Department of Health and Human Services that California Department of Social Services is complying with the provisions of the Keys Amendment. This certification obligates California Department of Social Services to distribute certain free information to interested individuals and to maintain a mechanism through which facility clients and the Social Security Administration are notified when an administrative decision is adopted to revoke the license of any facility, which cares for SSI recipients. Once notified, Social Security Administration may reduce the payment level for any Supplemental Security Income/State Supplementary Program recipient who continues to live in an unlicensed facility.

When an administrative action is adopted to revoke the license of a facility in which one or more of the clients are Supplemental Security Income/State Supplementary Program recipients, the Legal Division will notify the appropriate Licensing Office.

**At the time the facility is given formal notice of revocation, the Licensing Agency shall:**

1. Personally hand each Supplemental Security Income/State Supplementary Program recipient a Notice of Revocation Action (LIC 986A) and/or provide an oral explanation regarding the impact that the license revocation may have on his/her SSI payment level.
2. Send a copy of the above notification to each SSI recipient's authorized representative.
3. Notify clients not receiving Supplemental Security Income/State Supplementary Program.



**1-1810 NEW APPLICANTS****1-1810****Welfare and Institutions Code, Section 11350.6**

This program seeks to prevent any absent parent/licensee who is at least 30 days in arrears on his/her court ordered child support obligation from receiving initial issuance of his/her business or professional license without first paying or making an agreement to pay his/her unpaid child support. The **Regional Office** shall issue a temporary license valid for a period of 150 days to any applicant whose name is on the State Licensing Match System certified list. In the event that an application for a license is denied, any fees paid by the applicant shall not be refunded by the Community Care Licensing Division.

**STATE LICENSING MATCH SYSTEM MATCH**

1. The Central Operations Branch State Licensing Match System Coordinator is responsible for the coordination of the State Licensing Match System match. The Child Support Bureau generates a monthly file of absent parent/licensees, consolidated from the 58 County District Attorney offices, and transmits to all participating Licensing Agencies. The Central Operations Branch State Licensing Match System coordinator performs an annual match of the Child Support Bureau file against the Community Care Licensing Division Licensing Information System file of new applicants.
2. Once a match has been determined, the Central Operations Branch State Licensing Match System coordinator will input the match information into the Licensing Information System Personnel sub-system and send a "Notification of Intent to Withhold Issuance of License" letter to the applicant with a copy (c:) mailed to the **Regional Office**. This letter is to inform the applicant that they have been reported by a District Attorney as owing at least 30 days in unpaid child support.
3. The copy of the Notice of Intent letter sent to the **Regional Office** shall be given to the evaluator responsible for the pending application. Since the Notice of Intent letter contains confidential information it must be filed in the Confidential Section of the facility file. See sample of Notice of Intent to Withhold Issuance of License letter attached.

**1-1810 STATE LICENSING MATCH SYSTEM NEW APPLICANTS**  
(Continued)**1-1810****ISSUANCE OF TEMPORARY LICENSE**

1. At the time of initial licensure, if the **Regional Office** has received a Notice of Intent letter which identifies the applicant as a match and a release has not been received from the State Licensing Match System Coordinator, then the **Regional Office** is to issue a 150 day temporary license according to statute. AB 1394, Chapter 50, effective November 1, 1992, states the Licensing Agency will issue a temporary license. Community Care Licensing Division staff are instructed to utilize the provisional license in order to implement this statute. A copy of the provisional license shall be forwarded to the Central Operations Branch State Licensing Match System Coordinator.
2. Applicants will not be issued a permanent license unless the District Attorney provides the Central Operations Branch State Licensing Match System Coordinator with a release form. If a release form is received, a copy will be forwarded by the Central Operations Branch State Licensing Match System Coordinator to the **Regional Office** for issuance of a permanent license.

**EXPIRATION OF TEMPORARY LICENSE**

1. During the 150 day temporary license term, the applicant is responsible for making payment arrangements with the District Attorney's office. Per Statute, the temporary license cannot be extended. The Central Operations Branch State Licensing Match System Coordinator will send out a "Notification of Expiration of Provisional License" letter ten days prior to the expiration. This letter is to inform the applicant that a release form has not been received and their license will expire in ten days. See sample of Notification of Expiration of Provisional License attached.
2. If the applicant fails to comply with the provisions of AB 1394, Chapter 50, Statutes of 1992 within 150 days, the facility cannot continue to operate and the application for a permanent license is denied.
3. The applicant has no appeal rights to the Department.
4. Once the unpaid child support is paid, or arrangements for payment are made with the District Attorney, the applicant may submit a new application, with new application fees.

**1-1810 STATE LICENSING MATCH SYSTEM NEW APPLICANTS**  
(Continued)**1-1810**

**Below is a sample of the Notice of Intent to Withhold Issuance of License letter that is sent out by the Central Operations Branch State Licensing Match System Coordinator. Attached to the letter is a form for the applicant to request a review from the District Attorney's office.**

**NOTIFICATION OF INTENT TO WITHHOLD ISSUANCE OF LICENSE**

THE STATE OF CALIFORNIA, CALIFORNIA DEPARTMENT OF SOCIAL SERVICES PARTICIPATES IN THE STATE LICENSING MATCH SYSTEM PROGRAM. THE PROGRAM SEEKS TO PREVENT ANY ABSENT PARENT/LICENSEE WHO IS AT LEAST 30 DAYS IN ARREARS ON HIS/HER COURT ORDERED CHILD SUPPORT OBLIGATION FROM RECEIVING EITHER INITIAL OR PERMANENT ISSUANCE OF HIS/HER LICENSE WITHOUT FIRST PAYING OR MAKING AN AGREEMENT TO PAY HIS/HER UNPAID CHILD SUPPORT.

PURSUANT TO SECTION 11350.6 OF THE WELFARE AND INSTITUTIONS CODE, THE CALIFORNIA DEPARTMENT OF SOCIAL SERVICES, COMMUNITY CARE LICENSING DIVISION IS REQUIRED TO WITHHOLD ISSUANCE OF YOUR COMMUNITY CARE LICENSE. THIS ACTION HAS BEEN TAKEN BECAUSE YOUR NAME HAS BEEN IDENTIFIED AS A PROBABLE MATCH ON THE LISTING OF ABSENT PARENTS/LICENSEES. THIS LISTING WAS PROVIDED BY THE FOLLOWING DISTRICT ATTORNEY'S OFFICE:

D.A. COUNTY:  
ADDRESS:

TELEPHONE: (000) 000-0000  
CASE I.D.: 0000000000

THIS IS YOUR FORMAL NOTIFICATION THAT IT IS YOUR RESPONSIBILITY TO RESOLVE THIS MATTER. UNTIL PROOF OF RESOLUTION IS PROVIDED TO THE COMMUNITY CARE LICENSING DIVISION, YOU WILL NOT BE ISSUED A PERMANENT LICENSE. YOU MAY ONLY BE ISSUED A TEMPORARY LICENSE FOR A MAXIMUM OF 150 DAYS. YOUR TEMPORARY LICENSE CANNOT BE EXTENDED. FAILURE TO RESOLVE THIS ISSUE WITHIN 150 DAYS WILL RESULT IN EXPIRATION OF YOUR TEMPORARY LICENSE. ANY FEES PAID BY AN APPLICANT WILL NOT BE REFUNDED.

**1-1810 STATE LICENSING MATCH SYSTEM NEW APPLICANTS**  
(Continued)**1-1810**

IF YOU HAVE ANY QUESTIONS REGARDING THIS MATTER, PLEASE CONTACT THE DISTRICT ATTORNEY FAMILY SUPPORT DIVISION AT THE ADDRESS AND TELEPHONE NUMBER PROVIDED ABOVE. WHEN THIS MATTER IS RESOLVED, THE COMMUNITY CARE LICENSING DIVISION WILL AUTOMATICALLY RECEIVE A NOTICE OF CLEARANCE FROM THE DISTRICT ATTORNEY'S OFFICE.

DATE NOTIFICATION LETTER MAILED: 00/00/00

LICENSING AGENCY: Community Care Licensing

LICENSE TYPE:

LICENSE NUMBER: 000000000

ABSENT PARENT: John Doe  
ADDRESS: 111 Dead Beat Ave.  
Sacramento, CA 95000

SSN: 000-00-0000 CASE I.D.: 00000000

**STATE LICENSING MATCH SYSTEM  
REQUEST FOR REVIEW**

IF YOU WISH TO CONTEST THIS ACTION, YOU MAY ASK THE DISTRICT ATTORNEY FAMILY SUPPORT DIVISION LISTED BELOW TO REVIEW YOUR CHILD SUPPORT CASE. YOU MUST REQUEST A REVIEW BY SETTING FORTH THE REASONS YOU DISAGREE WITH THIS ACTION IN THE SPACE PROVIDED BELOW. YOU SHOULD MAIL YOUR REQUEST FOR REVIEW TO THE DISTRICT ATTORNEY FAMILY SUPPORT DIVISION AS SOON AS POSSIBLE SO THAT YOUR CASE CAN BE REVIEWED BEFORE THE 150 DAY PERIOD EXPIRES.

SOME POSSIBLE REASONS WHY YOU MAY CONTEST THIS ACTION ARE: THIS IS A CASE OF MISTAKEN IDENTITY, NO SUPPORT JUDGMENT WAS ENTERED AGAINST YOU, BANKRUPTCY LAWS IN EFFECT AT THE TIME OF YOUR FILING FOR BANKRUPTCY DISCHARGED YOUR SUPPORT OBLIGATIONS, OR YOU DO NOT OWE DELINQUENT CHILD SUPPORT. YOU MAY ALSO REQUEST BELOW THAT THE DISTRICT ATTORNEY FAMILY SUPPORT DIVISION ESTABLISH A PAYMENT SCHEDULE FOR YOU TO REPAY YOUR UNPAID CHILD SUPPORT OBLIGATIONS IF CIRCUMSTANCES WARRANT.

**1-1810 STATE LICENSING MATCH SYSTEM NEW APPLICANTS**  
(Continued)**1-1810**

THIS ACTION IS AUTHORIZED UNDER WELFARE AND INSTITUTIONS CODE SECTION 11350.6.

REASONS WHY I CONTEST THIS ACTION ARE:

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SIGNATURE\_\_\_\_\_ DATE\_\_\_\_\_

RETURN THIS COMPLETED FORM TO:

D.A.

TELEPHONE NUMBER: (000) 000-0000

D.A.

ADDRESS:

**1-1810 STATE LICENSING MATCH SYSTEM NEW APPLICANTS**  
(Continued)**1-1810**STATE OF CALIFORNIA - HEALTH AND HUMAN SERVICES AGENCY  
DAVIS, Governor

GRAY

DEPARTMENT OF SOCIAL SERVICES  
744 P Street, M.S. \_\_\_\_\_, Sacramento, CA 95814

DATE

NAME

ADDRESS

CITY/STATE/ZIP

**NOTIFICATION OF EXPIRATION OF PROVISIONAL LICENSE**

Your provisional license will expire in ten days. The Community Care Licensing Division has not received a release form from the District Attorney's office which identifies you as a probable match being in arrears at least 30 days of unpaid child support. Your provisional license will not be extended.

If you allow your provisional license to expire, you may not continue to operate your facility. Any fees paid will not be refunded. If you allow your provisional license to expire without making arrangements with your District Attorney's office, you will no longer have a valid license to operate a facility.

In accordance with Health and Safety Code Sections 1540, 1569.40, 1568.03, and 1596.80, your continued operation without a license will result in civil and/or criminal action being taken against you.

**1-1820 STATE LICENSING MATCH SYSTEM LICENSEES****1-1820****Welfare and Institutions – Code, Section 11350.6**

This program seeks to prevent any absent parent/licensee who is at least 30 days in arrears on his/her court ordered child support obligation from receiving initial issuance or renewal of his/her business or professional license without first paying or making an agreement to pay his/her unpaid child support.

**STATE LICENSING MATCH SYSTEM MATCH**

1. The Central Operations Branch State Licensing Match System Coordinator is responsible for the coordination of the State Licensing Match System match. The Child Support Bureau generates a monthly file of absent parent/licensees, as consolidated from the 58 County District Attorney offices, and transmits to all participating licensing agencies. The Central Operations Branch State Licensing Match System Coordinator performs an annual match of the Child Support Bureau file against the Community Care Licensing Division Licensing Information System file of licensees.
2. Once a match has been determined, the Central Operations Branch State Licensing Match System Coordinator will input the match information into the Licensing Information System Personnel sub-system and send a “Licensee Notification” letter to the licensee with a copy (c:) mailed to the **Regional Office**. This letter is to inform the licensee that they have been reported by a District Attorney as owing at least 30 days in unpaid child support.
3. The copy of the Licensee Notification letter sent to the **Regional Office** shall be given to the evaluator responsible for the facility. Since the “Licensee Notification” letter contains confidential information it must be filed in the Confidential Section of the facility file. See sample of Licensee Notification letter attached.
4. Since a renewal process no longer exists, we will not pursue license revocation under Welfare and Institutions Code Statute.
5. However, the Central Operations Branch State Licensing Match System Coordinator will send a “Licensee Notification” letter to the licensee, anticipating that they will cooperate with the District Attorney and fulfill their child support obligation. If the licensee fails to meet his/her obligation, the Central Operations Branch State Licensing Match System Coordinator may pursue administrative action against the licensee. All activities related to this procedure will be handled by Central Operations Branch.
6. If it is determined by the Central Operations Branch State Licensing Match System Coordinator that the licensee’s conduct supports an administrative action due to conduct inimical, such action may be pursued.

**1-1820 STATE LICENSING MATCH SYSTEM LICENSEES**  
(Continued)**1-1820**

**Below is a sample of the Licensee Notification letter that is sent out by the Central Operations Branch State Licensing Match System Coordinator. Attached to the letter is a form for the licensee to request a review from the District Attorney's office.**

**LICENSEE NOTIFICATION**

THE STATE OF CALIFORNIA, CALIFORNIA DEPARTMENT OF SOCIAL SERVICES PARTICIPATES IN THE STATE LICENSING MATCH SYSTEM PROGRAM. THE PROGRAM SEEKS TO PREVENT ANY ABSENT PARENT/LICENSEE WHO IS AT LEAST 30 DAYS IN ARREARS ON HIS/HER COURT ORDERED CHILD SUPPORT OBLIGATION FROM RECEIVING EITHER INITIAL OR PERMANENT ISSUANCE OF HIS/HER LICENSE WITHOUT FIRST PAYING OR MAKING AN AGREEMENT TO PAY HIS/HER UNPAID CHILD SUPPORT.

PURSUANT TO SECTION 11350.6 OF THE WELFARE AND INSTITUTIONS CODE, THE CALIFORNIA DEPARTMENT OF SOCIAL SERVICES, COMMUNITY CARE LICENSING DIVISION IS REQUIRED TO NOTIFY YOU THAT THIS ISSUE MUST BE RESOLVED OR IT MAY AFFECT YOUR LICENSING STATUS. THIS NOTIFICATION IS BEING SENT TO YOU BECAUSE YOUR NAME HAS BEEN IDENTIFIED AS A PROBABLE MATCH ON THE LISTING OF ALL ABSENT PARENTS/LICENSEES. THIS LISTING WAS PROVIDED BY THE FOLLOWING DISTRICT ATTORNEY'S OFFICE:

D.A. COUNTY:  
ADDRESS:

TELEPHONE :  
CASE I.D.: 0000000000

THIS IS YOUR FORMAL NOTIFICATION THAT IT IS YOUR RESPONSIBILITY TO RESOLVE THIS MATTER. IF YOU HAVE ANY QUESTIONS REGARDING THIS MATTER, PLEASE CONTACT THE DISTRICT ATTORNEY FAMILY SUPPORT DIVISION AT THE ADDRESS AND TELEPHONE NUMBER PROVIDED ABOVE. WHEN THIS MATTER IS RESOLVED, THE COMMUNITY CARE LICENSING DIVISION WILL RECEIVE A NOTICE OF CLEARANCE FROM THE DISTRICT ATTORNEY'S OFFICE.



**1-1820 STATE LICENSING MATCH SYSTEM LICENSEES**  
(Continued)**1-1820**

DATE NOTIFICATION LETTER MAILED: 07/01/95

LICENSING AGENCY : Community Care Licensing

LICENSE TYPE:

LICENSE NUMBER:

ABSENT PARENT NAME: John Doe

ADDRESS: 111 Dead Beat Ave.  
Sacramento, CA 95000

SSN: 000-00-0000

CASE I.D.: 0000000000

STATE LICENSING MATCH SYSTEM  
REQUEST FOR REVIEW

IF YOU WISH TO CONTEST THIS ACTION, YOU MAY ASK THE DISTRICT ATTORNEY FAMILY SUPPORT DIVISION LISTED BELOW TO REVIEW YOUR CHILD SUPPORT CASE. YOU MUST REQUEST A REVIEW BY SETTING FORTH THE REASONS YOU DISAGREE WITH THIS ACTION IN THE SPACE PROVIDED BELOW. YOU SHOULD MAIL YOUR REQUEST FOR REVIEW TO THE DISTRICT ATTORNEY FAMILY SUPPORT DIVISION AS SOON AS POSSIBLE SO THAT YOUR CASE CAN BE REVIEWED BEFORE THE 150 DAY PERIOD EXPIRES.

SOME POSSIBLE REASONS WHY YOU MAY CONTEST THIS ACTION ARE: THIS IS A CASE OF MISTAKEN IDENTITY, NO SUPPORT JUDGMENT WAS ENTERED AGAINST YOU, BANKRUPTCY LAWS IN EFFECT AT THE TIME OF YOUR FILING FOR BANKRUPTCY DISCHARGED YOUR SUPPORT OBLIGATIONS, OR YOU DO NOT OWE DELINQUENT CHILD SUPPORT. YOU MAY ALSO REQUEST BELOW THAT THE DISTRICT ATTORNEY FAMILY SUPPORT DIVISION ESTABLISH A PAYMENT SCHEDULE FOR YOU TO REPAY YOUR UNPAID CHILD SUPPORT OBLIGATIONS IF CIRCUMSTANCES WARRANT.

THIS ACTION IS AUTHORIZED UNDER WELFARE AND INSTITUTIONS CODE SECTION 11350.6.

**1-1820 STATE LICENSING MATCH SYSTEM LICENSEES**  
(Continued)**1-1820**

REASONS WHY I CONTEST THIS ACTION ARE:

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SIGNATURE \_\_\_\_\_ DATE \_\_\_\_\_

RETURN THIS COMPLETED FORM TO:

D.A.  
TELEPHONE NUMBER

D.A.

ADDRESS: